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EL ASPECTO CULTURAL EN EL APRENDIZAJE DE UNA SEGUNDA LENGUA

Ejemplos de contrastes entre inglés y español

Bonnie Brown Gfrorer

En un mundo cada día más pequeño el aprendizaje de idiomas lleva no sólo un sentido de urgencia sino también una esperanza para el mejoramiento de relaciones internacionales, una extensión en la comprensión y percepción tras fronteras culturales y políticas. Desgraciadamente la enseñanza de idiomas hoy en día se concentra casi exclusivamente en lo semántico y sintáctico. Con estos elementos se produce una base necesaria para comunicarse pero pocos son los estudiantes que logran pasar de estas dos dimensiones a una tercera e igualmente importante, la dimensión cultural. Este paso requiere una profundidad de percepción difícil de alcanzar para un extranjero. Sin embargo, esta percepción es absolutamente necesaria para la comprensión total de un idioma y a través de él de un pueblo. El aprendizaje de un idioma no debe limitarse a las dimensiones básicas sino que también debe incluir la habilidad de asociación con una mentalidad casi nativa de todas las señales de comunicación, verbales y no–verbales.

Nelson Brooks en su publicación "Teaching Culture Abroad" (La enseñanza de la cultura en el extranjero) comenta que la semántica no ayuda mucho al estudiante en cuanto al sentido cultural porque las asociaciones detrás de las palabras llevan sentidos muy distintos de una comunidad a la otra (1).

Diccionarios o listas de vocabulario imparten información limitada a la relación entre la palabra extraña y su traducción. Para entender a fondo tendríamos que saber y aprender hacer todas las asociaciones hechas por un nativo cuando piensa en o dice una palabra.

Un ejemplo simple de este fenómeno es la palabra "church" con su traducción "iglesia" en español. A simple vista no parecen tener ningún conflicto. Sin embargo, "church" implica varias asociaciones:

a) una denominación (varias posibilidades)
b) un edificio de indeterminado estilo
c) cristianismo o todas las denominaciones
d) sacerdotes, pastores o ministros
e) un servicio y/o una misa
f) un grupo de personas

"Iglesia" sin embargo por tradición está identificado con el catolicismo en América Latina. Las asociaciones más comunes son:

a) el catolicismo
b) un edificio de estilo más tradicional
c) una ubicación central en el pueblo
d) sacerdotes
e) la misa

Es dudoso que el católico en los Estados Unidos tenga los mismos conceptos que el católico latino debido a sus amplias experiencias con muchas religiones. Esto no quiere decir que el latino no puede concebir de otras religiones. Simplemente demuestra que sus asociaciones se concentran en las cosas más familiares. Una comprensión a fondo de estos conceptos requiere observación de la vida religiosa, determinación de los papeles, responsabilidades y relaciones de los miembros de las iglesias para comprender como es que funcionan dentro de la cultura.

Al considerar la relación entre cultura y lenguaje hay ciertas preguntas fundamentales. ¿Qué relación hay entre patrones lingüísticos y patrones culturales? . ¿Si personas con diferentes bases lingüísticas se diferencian de maneras no–lingüísticas? . ¿Cuál es la extensión de la relación? . De lo que ya se sabe en cuanto a los cambios lingüísticos, multilingualismo y difusión cultural, el determinalismo lingüístico no puede ser absoluto. Al mismo tiempo patrones lingüísticos no son intercambiables tampoco. Evidencia de modificaciones, interferencias en el hablar de bilingües y problemas de traducciones confirman esto.

El hombre lleva su cultura y su idioma consigo. El niño en una interacción con su "milieu" acumula por el proceso de socialización una serie de papeles sociales y patrones lingüísticos característicos de su sociedad. La clave de su aceptación e incorporación en esta sociedad es el dominio de las respuestas correctas (tanto verbales como no–verbales) esperadas por los demás. Como comenta Firth:

> Speech is largely vocal action in control of things and people including oneself, action in relation or in adjustment to surroundings and situations. We establish ourselves on speaking terms with our environment and our words serve our familiarity with it (2).

Una comunidad cultural desarrolla normas de reacción dentro de los límites de alternativas apropiadas. Claves determinadas culturalmente señalan las respuestas apropiadas a miembros de la comunidad. Al transferir este conocimiento a una cultura extranjera varias posibilidades nuevas ocurren causando una confusión de señales. Por ejemplo, un movimiento de la mano que en la cultura norteamericana significa adiós se usa en Latinoamérica para llamar a una persona.

Hay tres posibilidades básicas de confusión entre culturas:1) Dos sistemas de comunicación sean lingüísticos o de la conducta (behavioral) pueden tener las mismas unidades pero con sentidos distintos o valores distintos. Robert Lado en *Linguistics Across Cultures* nos da un ejemplo. "s–s–s–s" expresa insatisfacción en los Estados Unidos mientras que en los países de habla española se usa para pedir silencio (3). Otro ejemplo típico e importante de esta situación lo constituyen los chiflidos o "pitos". En Latinoamérica, como en muchos otros lugares, el chiflido o silbatina en público constituye un acto de protesta contra aquello que se rechifla. En los Estados Unidos, silbidos y aplausos se confunden en señal de aprobación y partidarismo. En cuanto a las mismas formas con diferentes valores, tenemos expresiones como " ¡Jesucristo! " " ¡Dios Mío"! "Santo Dios! ", etc. Son exclamaciones, en español, o pequeñas oraciones de súplica. En inglés, como contraste, se consideran como actos profanos que implican falta de respeto hacia Dios.

2) Una segunda posibilidad de confusión existe cuando dos culturas asocian el mismo sentido con unidades diferentes. "Galleta" en español incluye cosas dulces y

saladas. Se refiere más al tamaño y a la forma del objeto. El inglés al contrario tiene dos categorías "cookie" para lo dulce y "cracker" para lo salado. No se toma en cuenta la semejanza en tamaño y forma. Sin embargo la traducción más común para "galleta" es "cookie".

3) Un tercer problema ocurre cuando existen las mismas formas y sentidos pero las culturas demuestran una distribución distinta. El problema aquí no es lingüístico propiamente, sino de aplicación. Ambas partes están de acuerdo en cuanto a la dimensión semántica de la palabra aunque difieren en la aplicación o uso del objeto significado.

La persona que vive en una cultura extranjera tiende a interpretar las señales como en su propia cultura, responde como respondería en su ambiente y es muy probable que se encuentre con problemas. Si tiene suerte el choque será mínimo pero una falta de comprensión puede causar la pérdida de una amistad, un negocio o un empleo. No existen dos sistemas iguales y algunos son tan disimilares que reflejan distintas imágenes de la misma realidad. Como nos acuerda Edward Hall en su libro *The Silent Language* tenemos que aprender a entender los aspectos ocultos (out–of–awareness) del sistema de comunicación y nunca hay que suponer que entendemos completamente lo que comunicamos a otros (4). Si alguien le dice a un norteamericano, "Dame la mano", es posible que éste conteste con un aplauso, se disponga a prestar ayuda o extienda la mano. La traducción directa "Give me the hand" no significa nada en inglés pero se podría asociar con "Give me a hand" (Ayúdeme o aplausos, por favor), o con "Give me your hand" (Extiéndame la mano). Fórmulas sociales y expresiones idiomáticas son verdaderas fuentes de confusión. Como en el ejemplo anterior, se pueden entender todas las palabras y la gramática sin captar la implicación. Los ejemplos son numerosos:

Tomar el pelo	To pull someones leg
Meter la pata	To put your foot in your mouth

Un examen del vocabulario de un grupo da una idea del contenido y de los valores de la cultura. Diferencias en vocabulario normalmente corresponden a diferencias ambientales tanto físicas como sociales. El vocabulario sirve como inventario de ideas, intereses, ocupaciones, preocupaciones y valores del grupo. El ejemplo clásico de este fénomeno son los esquimales con distintos términos para diferentes condiciones de nieve (nieve en la tierra, nieve cayendo, nieve amontonándose, un montículo de nieve, etc.). También tienen palabras diferentes para las focas, con relación al sexo, la edad, si se están asoleando o flotando en un pedazo de hielo (5).

En español se hace diferencia de manera semejante con respeto a las montañas. Las montañas son tan dominantes en la vida cultural que se refleja esta importancia en términos especializados como:

1) montaña
2) sierra
3) cordillera
4) pico
5) peñasco
6) peña
7) cerro
8) colina

Ahora el norteamericano podría comentar que ellos también hacen distinciones entre montañas y empezará a nombrar "chain of mountains, low mountains, jagged or rocky mountains, peaked mountains, etc". Sí se puede expresar estas mismas ideas pero en inglés las alternativas son limitadas a la palabra original "mountain" más un adjetivo descriptivo. El idioma no está especializado en este aspecto.

Un contraejemplo donde inglés está mucho más especializado que español es en la categoría de carne. Se clasifica no sólo el tipo de carne sino también el corte. La gran variedad de términos indica que la carne es relativamente importante en la dieta

norteamericana. Una lista parcial nos da una idea concreta:

1) steak
2) ham
3) bacon
4) roast beef
5) dried beef
6) pork chops
7) pork steak
8) lamb chops
9) roast lamb
10) leg of lamb
11) veal
12) ground round
13) hamburger
14) spare ribs
15) country ribs
16) sausages (varios)
17) weiners
18) cold meats (varios)
19) etc.

Además, se puede subdividir "steak" en más de diez variedades según el corte.

1) fillet mignon
2) porterhouse
3) T–bone
4) Tenderloin
5) sirloin
6) club steak
7) swiss steak
8) round steak
9) chuck steak
10) minute steak

Como hemos visto, cada idioma y cada cultura tienen su punto de vista que consiste en una clasificación arbitraria. Una idea en un idioma puede estar caracterizada por una serie de palabras las cuales hacen alusión a aspectos especializados o diferenciados dentro de esa misma idea. Esta categorización muchas veces no se mantiene para el equivalente en otro idioma, donde sólo sobrevive el término general.

Estos son los factores que complican la tarea de aprender otros idiomas y explican las dificultades de aquellos que los enseñan. Una persona bilingue es por necesidad también bicultural. Tiene que asimilar ciertos valores del sistema extranjero, componentes de la otra mentalidad. No quiere decir que tiene que aceptar ciegamente todos los valores de la sociedad. Muy pocas personas aceptan todos los valores de su propia sociedad. Pero tiene que poseer la capacidad de salirse de su cultura para poder entender y entrar en un mundo nuevo. El idioma es, entre otras cosas, la manifestación oral de la cultura.

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NOTAS

1. Nelson Brooks, "Teaching Culture Abroad", Modern Language Journal, May 1969, p.321.

2. J.R. Firth, "On Sociological Linguistics", *Language in Culture and Society* (New York, Evanston and London, 1964), pp.94–95.

3. Robert Lado, *Linguistics Across Cultures* (Ann Arbor, 1968), p.118.

4. Edward Hall, *The Silent Language* (Greenwich, Conn., 1967), p.38.

5. Franz Boas, "On Grammatical Categories", *Language in Culture and Society* (New York, Evanston and London, 1964), p.122.

THE DIRECT METHOD IN TEACHING FOREIGN LANGUAGES

A.L.Quiñones

Historical Background

Around 1880 and in the following years there was a great change in the method of teaching foreing languages. In 1882 Vietor published in Germany a pamphlet in which he directed a full attack on the current Grammar–Translation Method. For him grammar was not the starting point. Vietor, as well as other famous linguists of that periord, insisted that the pupil should discover the facts for himself by experience in the language. He maintained that language must not be analysed too much into words but taught in complete sentence utterances. Language was to be learnt through speech first; the spoken language should take precedence over written language in order of presentation to the pupil. Even accidence was to be learnt from the sounds of speech rather than from written endings; therefore, phonetics and phonetic transcription were also introduced. These linguist stated that the four aims of language teaching in their proper order are: Hearing, Speaking, Reading, Writing.

Similarly Gouin, a French linguist, thought that a foreign language should be learnt more or less as a child learns his mother tongue, and to this end he developed 'series' of actions and accompanying statements, through which the basic utterances of the language were to be acquired. He thought that exposing the student directly to the foreign language impresses it perfectly upon his mind. However, many linguists thought that this was true only up to a point, since the Psychology of learning a foreing language differs from that of learning the first. The child is forced to learn the first language because he has no other effective way to express his wants. In learning a second language this compulsion is largely missing, since the student knows that he can communicate through his native language when necessary. Furthermore, with the first language the child's mind can be thought of as a "tabula rasa" where the pattern becomes impressed, whereas with a second language the habit patterns of the first language are already there, and the second language is perceived through the habit channels of the native tongue.

Although the Direct Method became very popular in Europe, in the years following 1880 a great deal of controversy took place about the merits and demerits of the new method. A society of French teachers in England was formed, and at its first conference

passed a resolution that French should be taught as a living language and that it should be taught by Frenchmen. On the other hand, other famous linguists gave strong support to the new method of language teaching. Though there were some differences of view among these Direct Methodists, in the main they were remarkably united in their outlook of language teaching. They were also strongly opposed to the Grammar–Translation Method, and generally opposed to all translation into the target language, as well as to memorization of conjugations, declensions and rules. They believed in learning the language in and through the language itself, and hence did not favour the intrusion of the mother tongue in the classroom. The reason why they were opposed to translation as a teaching instrument, was that it involved a mental exercise that was far removed from the normal experience of spontaneous speech. They thought that language was to be learnt by using language rather than by constructing sentences, puting together the necessary words according to the grammatical rules. Thus, the use of the mother tongue was replaced by activity, demostration and drills, the use of 'realia' (1) an so on. Since many of them were phoneticians, they favoured an extensive use of phonetics in language teaching. Grammar was to be learnt inductively by the frequent use of language, and rules were completely banned. But their most vital idea was that meanings of words were to be learnt as far as possible by the direct association of the new word with the object, action, or concept that it designated, without the intervention of the mother tongue.

Harold E. Palmer, as we know, criticised this point, stating that the most "direct" way of conveying the meaning of a new word might often be simply to give a translation into the learner's native language. However, other linguists found out that many teachers think that giving the equivalent of a word in the mother tongue, or explaining what it means, is to teach it. "But, a child who plays with children who speak a different language begins to make the sounds which they make, as he learns to hide himself or run when chased, without waiting to learn why, or what the words mean. He learns the meaning of the words in a very short time by using them in the right place at the right moment. Besides, the pupil's curiosity is dissipated and the tension is relaxed before his interest, when the meaning of a new word is given: we weaken the impression which the word makes on the mind. We spoil the game if we give the solution to a puzzle before it has been really worked at, before our pupils have had a chance to try their wits and the quickness of their ears on it. A language learnt merely as a set of words, phrases and structures, might be more evanescent than a language learnt realistically as behaviour, and perhaps a behavioural method of language teaching might make language learning not only more interesting in the early stages but more permanent, and possibly quicker because of the diminished loss through forgetting" (2).

Despite these excellent principles evolved, there were some factors that imposed on them limitations. These factors were that those great linguists missed completely the principle of selection, grading, and controlled presentation of linguistic items, first vocabulary an then structures. In the second place, they did not have the technological aids to language teaching as we do today. But still, there have always been teachers who have successfully followed the best principles of language teaching ever since the remarkable developments of the 1880s.

The most difficult task came when the new Method had to be adequately adapted to the schools. Textbooks, detailed programmes and other materials were needed, and the teachers also needed to be trained. All this involved a tremendous task which could not be accomplished in a few years only. And since the new active methods in the hands of incompetent teachers lead to poor discipline, the new ideas earned considerable ill–repute. Furthermore, a number of teachers actively resisted the Direct Method and gave stronger support to the Grammar–Translation Method. Palmer, again, maintained that some of the means which Direct Methodists used to convey meaning were more confusing, in fact far less "direct", than the simple translation into the mother tongue. He said that to learn all

meaning by context, as the child learns his native language, would take too long. Anyhow, the pupil usually guesses the English translation and repeats it to himself, so that translation takes place. However, he supported most of the ideas of the Direct Method, but he sought to give them more reality and a more scientific form. He finally made the new method a success in practice, and it was later adapted by a large number of teachers, especially in the period between the two World Wars. When used by competent teachers, this method succeeded with whole classes where grammar–translation had at best helped the exceptional student.

The Direct Method in Practice

We can now summarize and say that the Direct Method is a theory based on the principle that language should be taught in direct connection with objects and living ideas. It is based on the doctrine that translation should be excluded in the greater possible measure, being considered in all its forms and functions as a vicious and harmful proceeding. It stresses practice instead of theory, in other words, the students must learn to speak by speaking, to understand by listening, to read by reading and so on. They are brought into the language, at first in a simple form, and then in a progressively more difficult form. So we see that in using this method, the teacher might begin teaching the first words by saying the names of the things in the classroom and by letting the pupils repeat them; by pointing to pictures, or by perfoming actions. But even at the beginning he could easily bring these words into close association with some classroom action and routine. For instance, we can see how the teacher puts this into practice "when calling the roll:

Teacher: Peggy Brown?
Peggy: Here, Miss Quiñones (or "Present, Miss...")
The teacher did not hear her answer, and so she asks:
Teacher: Is Peggy Brown here?
Peggy: Yes, I'm here.
Teacher: Where are you, Peggy? Put up your hand. Oh, there you are. Is Tom here?
Class: No, Miss. Quiñones
Teacher: Isn't he? Oh. Was he here yesterday, David?
David: Yes, he was.
Teacher: Where is he today?
Mary: He is at home, Miss.

And so on (3). Now we can realise that the Direct Method should not be thought of only as the close association of words with the things named by them, though that certainly is the theory in its simplest terms. There is much more in it than that: the principle may be explained as the associating of word with thing, of thing with context, and of context with expression in the foreign language. What is needed is the full 'contextual situation' of a living event, some small incident of real life. For instance, the word 'watch' is to be taught: the pupils look at one, and if possible touch it (touch brings such certainty to children). Then the teacher uses the word in a 'real' experience, saying: "Look, I am winding my watch"; as he does so, the children all listen intently to the tiny clicks. So the *idea* of winding a watch is immediately associated with the words expressing the act. Of course the children know all about winding a watch; but their attention and interest in making sure that they will hear the clicks transform the small event into a fuller experience for them; and so the word "watch" becomes part of a larger unit of thought and understanding, reinforced by senseperception, interest and enjoyment.

We note here, too, that the word has been associated with a complete context, an active one, not merely with a thing, referred to without interest or purpose. In addition the word 'winding' is not first met with as a purely verbal form with a meaning that has

to be memorized; but it has been encountered in a context of real life; they have seen the living person perform the action; they have heard the result of the action and the words that express action.

Using the same topic, we now must imagine a more significant story: the teacher pretending he is late and in a hurry to leave, keeps on looking at his watch. Then with an exclamation of annoyance, he holds it to his ear, then shakes it gently, and looks at it again: "Oh, dear". It has stopped again. Did I wind it last night? I always wind it at night; but did I last night? " Thus he suggests to the imagination of his pupils some little everyday "situation" by his actions and words. Thus, their curiosity helps their minds to concentrate on what is happening, and therefore on the language; and the new patterns of words and meanings are firmly impressed on their memories. The previous examples have shown us how very simple an experience in learning may be. Some teachers permit chatter and even fooling that can be controlled at a glance, and based on a real and friendly understanding with the pupils.

The task of divising little situations may seem at first not at all easy; but once one begins to make them up, little scenes will soon suggest themselves. Further classroom work can be prepared with games, songs and so on.

The Direct Method can be thought of as one of the most widely known and the one that has caused the most controversy. This movement resulted in various individual methods with various names, such as New Method, Natural Method, and even Oral Method, but they can all be referred to as Direct Methods, or the Direct Method. Its main characteristics are:

1. The use of everyday vocabulary and structure.
2. Grammar taught by situation.
3. Use of many new items in the same lesson to make the language sound natural and to encourage normal conversation.
4. Oral teaching of grammar and vocabulary.
5. Concrete meanings through object lessons; abstract ones through the association of ideas.
6. Grammar illustrated through visual presentation.
7. Extensive listening and imitation until forms become automatic.
8. Most of the work done in class; more class hours needed.
9. The first few weeks devoted to pronunciation.
10. All reading matter first presented orally.

NOTAS

(1) Techniques that make pupil feel environment of the country where the target language is spocken.

(2) A.L.Q. An Essay on "Language Through Speech As An Important Aim in Teaching English to Foreign Students". (Work done for the Method's Course).

(3) A.L.Q. "Syllabus" (Work done for the Method's Course).

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LE STYLE BAROQUE DE ROTROU

Prof. Daniel Bohême

Depuis quelque temps déjà, l'oeuvre théâtrale de Rotrou retient l'attention des spécialistes de la littérature du XVIIe siècle. Constatation curieuse, plus cette oeuvre séduit et moins sa forme stylistique semble devoir être soumise à un examen critique même partiel (1). Est–ce là à dire que ce théâtre si riche en hardiesses tant structurales que thématiques ne vaut que par son emmêlement de pensées, d'aventures et de formes d'encadrement les unes plus déreoutantes que les autres! ? . Il existe à la vérité des moyens d'expression, des tours de syntaxe, des mises en accord, bref des procédés de style qui entrent dans la composition de toute ébauche, et que l'on ne peut sous–estimer ni méconnaître.

Il faut, en principe, faire grand cas de l'ingénieuse manière par laquelle un écrivain parvient à mieux mettre en relief le pittoresque de son imagination, comment il en vient non seulement à déployer mais aussi à faire valoir, à rendre sensibles des manières d'être, des manifestations de caractère et certains reflets de son époque.

Cette étude se veut la recherche et l'interprétation de quelques–uns de ces aspects; elle sonde également les mécanismes d'un style tout en images et figures de rhétorique. A partir d'un inventaire des traits essentiels du style de Rotrou, on constate la variété et l'abondance des moyens de retardement dans l'évocation et la représentation des actions et des émotions. Ces moyens, de fonction purement ludique, se réduisent à peu mais tirent à conséquence: des images sériées dans une infinité de rapprochements inattendus, des figures de mots assorties en interdépendances anormales, des procédés grammaticaux aménagés dans une variété étonnante.

Pour mieux interpréter le degré de liberté que s'autorisait Rotrou dans l'emploi des images et des procédés de langue et de construction, il faut se souvenir que les deux décennies à l'intérieur desquelles s'échelonna la majeure partie de sa création dramatique

appartenaient à une époque trouble et agitée. De 1630 à 1650, les écrivains français se complurent à souligner et illustrer des situations et des croyances quelque peu nuancées par rapport à celles des époques antérieures. C'est bien alors que le droit de libre arbitre est nettement affirmé, que le scepticisme en raison devient de bon ton, que le monde est dépeint théâtre de viles passions et qu'il ne s'y observe plus que faste ostentatoire, jeux d'intrigues et machinations scandaleuses (2).

Ce goût des extrêmes et de l'apparat, de la "générosité" extravagante, des rodomontades irréalisables, caractérise les héros de Rotrou. Un délire épique les meut, les force presque malgré eux a affronter des obstacles de cauchemar, à défier l'univers. C'est à peine si cette effervescence s'assagit dans le manège de la séduction. Laborieusement inféodés à l'intemporalité de l'inconstance amoureuse, ces monomanes témoignent d'un parti pris d'antagonisme. L'ardeur des sens les exaltent: ils encensent, ils s'empressent en feignant de craindre d'importuner, ils se donnent des airs...En imaginant ces poseurs de fantaisie, Rotrou juxtaposait complaisamment une esthétique de la complication romanesque à une esthétique de la stylistique baroque. Au spectacle du télescopage de situations en conflit, telles que la vie et la mort, la paix et la guerre, l'accalmie et la tempête... correspond en définitive un style à l'avenant, sous des formes de jeux du mensonge et de la devinette, de dépassements excessifs, d'énumérations surchargées et de grossissements prodigieux. L'enchaînement logique des confrontations dramatiques éclate et est altéré en déviations qui entraînent loin d'échéances entr'aperçues ou prévues. Le sens des pensées se déforme, tout aussi bien que la place qui leur est assignée dans l'ordre naturel des phrases. L'ambigüité, le manque d'harmonie et la fantaisie la plus pure sont à l'ordre du jour dans un univers de rechange, en perpétuel devenir.

Peu d'études à ce jour ont été consacrées au style de Rotrou (3). Bien que cette recherche y remédie en partie, elle s'impose d'ores et déjà des limites. Une enquête qui discuterait de tous les aspects du style de ce dramaturge entreprendrait une tâche écrasante, sinon irréalisable. Il est possible toutefois par la subordination des trois composantes de forme dans le style de Rotrou –*l'analogie, l'opposition, le débordement*– à un éclairage moderne, la stylistique baroque, de s'engager dans une exploration qui livre bien des secrets.

Plus n'est besoin de justifier le bien fondé du recours à un tel éclairage. La question est captieuse et oratoire qui pose l'existence d'une stylistique baroque qui réponde à cette nécessité (4). Il est un fait que plusieurs sondages récents ont traité de sa nature de façon très judicieuse et entendue (5). Ses aspects essentiels consistent en un nombre élevé d'exclamations vives, d'interjections frappantes, d'interrogations pressantes et emphatiques, de reprises placées côte à côte sans éléments coordinateurs ou inversées de même, de développements antithétiques, de tournures chargées de termes émotifs, de tons interchangeables, de sonorités discordantes...Tout s'y multiplie et s'y diversifie sous des effets de coupure, de morcellement, de régression, de rebondissement. La beauté et la laideur coexistent, le laisser–aller et le purisme, le décousu et l'étudié.

Ces sondages partiels révèlent des particularités de style denses et complexes. Il convient pour circonscrire ces particularités à l'univers du Baroque, de rappeler leur étroite dépendance à quelques critères brillamment schématisés dans les recherches de Jean Rousset: la métamorphose, l'ornementation, la mobilité et l'instabilité (6). Le style qui emmagasine une telle disparité d'aspects offre bien l'évocation du désordre éternel. Rien ne s'y suit de soi–même. Tout s'y engendre pour s'y détruire. Il y règne un manque de clarté évident et l'excès dans l'expressivité le caractérise.

I. Le Débordement

Pour rendre sensible sa vision d'un monde dont la plupart des intrigues ne s'entrecroisent que pour se contrarier, Rotrou se complaît souvent à barioler et partant, à

transfigurer une réalité esquissée d'après modèle (7). Son style s'adapte à cet effet; encore conviendra–t–on bien volontiers qu'il ne s'agit guère d'adaptation, bien plutôt de placage qui fait cortège, voire diversion, à l'évocation et la description de scènes de magie, de situations résultant en quiproquos, d'aventures fantastiques. Des scènes d'importance capitale dans ce théâtre frappent de la sorte par le caractère de "défectuosité" baroque dans le style qui les concrétise: tout devient tension et déséquilibre, renversements soudains, sensations accrues au centuple, irréalisme mystificateur...et en général esthétique de l'outrance.

Les entassements asyndétiques

Dans son adaptation d'une des nouvelles exemplaires de Cervantes, *Las Dos Doncellas*, Rotrou fait paraître une jeune fille dépossédée de tout ce que l'avantageait aux yeux des siens et de la société de son époque. Accablée et déchirée de remords, cette dernière s'abandonne au désespoir:

> Quelle est ma frénésie? O honte irréparable!
> Chétive, abandonnée, esclave, misérable,
> Opprobre de ton sexe, horreur de ta maison,
> Sans espoir, sans support, sans discours, sans raison,
> Odieuse à ton père, à ton sort, à toi–même...
>
> *(Les Deux Pucelles, IV, ii)* (8).

L'amour, selon une autre jeune fille passionnée de ce même théâtre, s'énonce en une série de circonstances mouvementées:

> Il s'attache, s'accroît, force, vole, s'étend...
> Il n'épargne tourments, gênes, flammes, ni fers,
> Il passe en cruauté la mort et les enfers;
> Il presse, oppresse, brûle, étouffe, désespère,
> Fait naître pleurs, soupirs, sanglots, plaintes, colère.
>
> *(La Belle Alphrède, I, i)*

Les mouvements divers

On sait combien les jeunes filles de l'époque de Rotrou, impuissantes entre les mains de parents spéculateurs, avaient à subir de la part des maris qu'on leur imposait. Voici, comme le rapporte de manière réaliste une servante, le manège d'une de ces jeunes filles sur le point d'être mariée contre son gré:

> Lors son geste confus, et l'horreur de ses cris
> De crainte et de pitié saisissent les esprits;
> A la voir l'oeil ardent, les cheveux en désordre,
> Tordre tantôt un bras, et tantôt le détordre,
> Se raccourcir le corps, meurtrir son sein de coups,
> Et sauter furieuse à la face de tous...
>
> *(La Pélerine amoureuse, II, i)*

Un tel dynamisme portera ses fruits et la cérémonie sera remise à date ultérieure... Par ailleurs, souvent engagé dans des luttes en apparence sans issue, le personnage baroque prend plaisir à faire frémir et à se déclarer réduit à la dernière extrémité. Tel est le cas de l'un d'entre eux qui tiraillé entre sa passion et sa haine apparaît terriblement agité. Une

psychomachie amusante revit:

L'amour qui me transporte, et l'affront qui me touche,
Tous deux également voulaient m'ouvrir la bouche:
Tous deux voulaient paraître et sortir à la fois,
Et tous deux se pressant m'ont étouffé la voix.

(Laure persécutée, IV, iv)

Les répétitions

Le nom propre répété à outrance, soulignait avec raison un observateur très fin du théâtre de l'époque, s'acquiert "une valeur obsessionnelle" (9). Un prince qui ignore tout des demi–mesures, excédé par les refus d'une jeune fille que ses assiduités laissaient insensible, jure ses grands dieux de tout mettre en oeuvre pour oublier jusqu'au nom de l'ingrate:

Si dans mon souvenir Elise entre jamais,
Si je vois plus Elise, et si jamais Elise
Avec tout son orgueil a droit sur ma franchise...
Si l'on veut m'obliger, que dans tout l'Aragon
On supprime d'Elise et l'idée et le nom;
Qu'aucun ne me la nomme et surtout ne s'avise
De me tenir au rang des prétendants d'Elise:
Elise, cet objet autrefois mon vainqueur,
Me blesse autant les yeux qu'elle blessait mon coeur;
J'abhorrerais Elise à tous mes voeux soumise,
Le ciel par sa bonté me préserve d'Elise!

Au gentilhomme amusé et railleur qui s'étonnait que l'on prononçât tant le nom déconsidéré, le Prince révèle sa stratégie:

Je mets par ce moyen toute Elise hors de moi,
La chasse d'une place injustement acquise,
Et de mon souvenir efface toute Elise.

(Don Lope de Cardone, IV, v)

L'adverbe marquant le degré d'excès et la locution adverbiale de temps servent au prince trompé par la rouerie d'un frère indigne de stimulants puissants pour exprimer la colère vive:

Je donnai trop dès lors au respect de mon frère,
Trop à ma retenue, et trop à ma prière;
Dès lors, ma passion, je devais t'écouter;
Dès lors, juste transport, tu devais éclater.
Je fus trop circonspect, j'eus trop de révérence,
Et j'ai trop d'une nuit nourri son espérance.

(Célie, IV, i)

La violence imagée (10)

En reprenant á son compte *l'Iphigénie à Aulis* d'Euripide, Rotrou se montre amateur singulier des situations violentes et des aspersions de sang. Pour accentuer

l'horreur d'un sacrifice prochain, Rotrou d'une part souligne le zèle d'un père attentif aux préparatifs du cérémonial et d'autre part campe la silhouette de la mère non point tant livrée à un désespoir pathétique que dans la plénitude d'une rage furieuse. L'épouse impuissante à fléchir la volonté d'un époux endurci, rappelle à ce dernier une destinée cruellement scellée:

Votre force m'acquit bien plus que votre flamme,
Et je fus votre rapt et non pas votre femme.
Vous plongeâtes depuis cette cruelle main
Au sang d'un de mes fils arraché de mon sein,
De ses membres mourants battîtes les murailles,
Et de ses flancs ouverts tirâtes les entrailles.

(Iphigénie en Aulide, IV, iii)

L'Innocente Infidélité est une tragi–comédie qui abonde en violences horribles. Son héroine monstrueuse, Hermante, glace souvent par des mises en exécution atroces. Déchaînée contre celle qui s'est mal acquittée d'une mission, elle prétend se faire raison sur le champ. Il s'en faut de peu que l'on n'assiste à un dépeçage méthodique:

Il faut que de ces mains je déchire le sein
Où tu conçus pour moi ce damnable dessein;
Il faut que de mes dents j'arrache cette langue...

S'échappant à grande peine des griffes de cette furie, Clariane offre ailleurs ses services criminels, et échoue de même. Tombée finalement au pouvoir de ceux–là mêmes dont elle aidait à l' anéantissement, elle profère force imprécations, excellant à l'instar de sa maîtresse d'antan:

Les corbeaux trop longtemps attendent leur pâture.
Que ne sont par vos mains ces membres déchirés,
Et que déjà par eux ne sont–ils dévorés?

Sa maîtresse subit un sort identique et bien que réduite à l'impuissance impressionne par une hargne farouche:

Et mes propres efforts sur moi sont impuissants;
Je ne puis ni mourir, ni forcer ces murailles;
Je ne puis de ces mains arracher mes entrailles...

(I, ii, IV, vi, V, v)

La disproportion numérique

Parfois, plutôt que de multiplier les rapprochements mettant en évidence le caractère d'instabilité de l'univers qu'il façonne, Rotrou se contente de renouveler des mouvements polyvalents, au prix d'une comptabilité vertigineuse (11). Témoin cette manie chez un vieux marin pour indiquer le nombre de dangers guettant les passagers du navire battu par la tempête:

J'ai vu cent fois la mort, et les vents courroucés
Ont de mille dangers nos vaisseaux menacés;
Cent fois leur violence a déchiré nos voiles,
Cent fois ils nous ont mis au–dessus des étoiles;

Les efforts du pilote ont cent fois été vains,
Et le timon cent fois est tombé de ses mains.

(Les Ménechmes, II, i)

Séduite, trompée, consciente de l'indignité du rôle qui lui est dévolu, une jeune éplorée ne laisse pas de consulter son coeur endolori. Un mouvement contraire semble naître, occasionné par le souvenir des manoeuvres mensongères du vil séducteur:

Ce coeur en qui jamais n'a régné la constance,
Que tous objets nouveaux trouvent sans résistance,
Esclave d'autant d'yeux qu'il en a vu d'ouverts,
Et qu'une heure fait vivre en mille endroits divers...
Mille me l'ont ôté qui ne l'ont déjà plus:
Mille, que cet ingrat a trahi de ses feintes.

(La Céliane I, ii)

La disproportion comparative

Ni mesure ni limite ne conviennent à l'allant ou aux déclarations des surhommes que Rotrou soutire de son imagination. Les exemples cités ci–dessous en font foi. Ils se rangent dans deux catégories:

1. La *supériorité* comparative (obtenue par l'emploi abusif de "plus que"):
   Qui me rend plus vaincu que n'est le vaincu même.

   (Les Sosies, IV, iii)

   Oui, Seigneur, je suis homme et quelquefois plus qu'homme

   (Don Bernard de Cabrère, V, iv)

   Plus confus, et plus mort que je ne fus jamais

   (Les Ménechmes, IV, vi)

2. L'*infériorité* comparative (obtenue par l'emploi abusif de "moins que"):
   Je sens moins que son ombre et ne tiens que du vent

   (Agésilan de Colchos, I, i)

   En cessant d'être amant, je deviens moins qu'esclave

   (Laure persécutée IV, ii)

   J'ai vu mille soleils dont il est moins que l'ombre

   (Clorinde, II, iv)

La mythologie transcendantée

L'être baroque, dans son orgueil incommensurable, trouve à se comparer aux dieux de l'antiquité, à usurper leur pouvoir, à les vaincre sur leurs propres attributs. Tout imbu de sa grandeur, il s'emploie de son mieux à dédaigner et à railler l'ordre des valeurs traditionnelles en leur substituant un enrichissement étrange, symbole de sa confiance illimitée en lui–même, mesure de consolation aussi à l'égard de ses innombrables retombées et défaites cuisantes. On ne saurait cependant s'étonner assez de cette verve caustique à la suite de laquelle la déité olympique est humanisée à si peu de frais, dans une fusion d'irrévérence et d'invraisemblance. Voici donc des divinités indigètes la

mutation dégradante; voici leur déplacement initial dans le monde de la berne et bien sûr l'accès successeur à leur toute–puissance: l'homme–titan baroque. Car peut–on supposer une hiérarchie bannie sans une hiérarchie de rechange, moins portée aux idéaux, non moins prétentieuse cependant.

Pour faire comprendre l'inutilité d'une requête et la maîtrise parfaite de soi, toute comparaison vient de la sorte à point:

Non, non, tous les attraîts des beautés de ces lieux,
Hélène renaissante avec que tous les charmes
Qui de tant de héros ont exercé les armes,
Le plus divin sujet qu'on ait jamais vanté,
La perfection même et la même beauté,
Trouveraient mon coeur un rocher insensible,
Leurs efforts seraient vains, leurs plus doux appas
Employés sans effet...

Il n'y a en réalité rien de mystique chez cet insensible, il faut lui accorder une indulgente sympathie: il a au coeur un amour parfait, ainsi que ses déclarations raboteuses le donnent à entendre:

Quand Vénus elle–même
Viendrait du sein de Mars me dire qu'elle m'aime,
Quand Junon descendrait de la table des dieux,
Et telle qu'à Paris s'offrirait à mes yeux,
Quelques charmes si doux que sa beauté possède,
Je l'aurais à mépris après celle d'Alphrède.

(La Belle Alphrède, V, xi)

Les désespérés d'amour ne s'expriment pas différemment dans ce théâtre. La mort dans l'âme, un langoureux clame sa plainte et le cas exceptionnel de son malheur:

Tous les amants qui sont et qui ne sont plus au monde,
Ixion sur la roue, et Tantale dans l'onde,
Si vous considérez l'excès de mon tourment,
Ont, en comparaison, souffert légèrement.

(Amélie, III, v)

L'espace conquis

Les dieux ravalés au rang de simples citoyens de la terre, il n'y a aucune raison pour que la terre elle–même conserve des zones de refuge. Le conquérant baroque se sent une âme d'astronaute dans la poursuite de ses intérêts. Les quelques exemples prélevés à cet effet se passent de commentaire:

Quoique, pour éviter mon courroux sans pareil,
Vous fussiez élevés dans le char du soleil,
Ce vif ressentiment me fournirait des ailes
Pour atteindre et punir vos têtes infidèles.

(La Bague de l'oubli IV, v)

Suivons votre dessein, et marchons sur les pas
D'un traitre qui volant ne m'échapperait pas,
Que je suivrais plus haut qu'où se fait le tonnerre...

Le ciel même, le ciel, s'il s'ouvrait à sa fuite
La voudrait vainement soustraire à ma poursuite;
Dussé–je du soleil faire l'oblique tour...

(Les Deux Pucelles, II, vii; II, viii)

L'absolu surpassé

Dans *La Manière de bien penser* du Père Bouhours, deux personnages se livrent à un débat sur le problème de la justesse de pensée nécessaire à la composition des ouvrages d'esprit. Les arguments vont bon train et la littérature de l'époque est passée au crible, décriée sans merci. C'est ainsi que l'un des interlocuteurs, Eudoxe, décrète que "les pensées qui roulent sur l'hyperbole sont toutes fausses d'elles–mêmes, et ne méritent point d'avoir place dans un ouvrage raisonnable..."(12). Prise de position sévère, goût pascalien qui ne tient pas compte d'une littérature "déraisonnable" se sachant art de l'excès et ne s'en cachant nullement. La vraisemblance et la retenue ne sont de mise que chez ceux qui recherchent l'harmonie tant morale qu'esthétique. L'artiste baroque veut frapper d'étonnement, rendre tous les sens interdits, dérouter jusqu'à l'ahurissement total.

Tout ce qui indique l'état de perfection, la beauté même, la vaillance par excellence, la pureté immaculée, n'est pas susceptible de comparaison et doit servir uniquement de modèle. Dans l'univers théâtral de Rotrou, il y a toujours une faille hyperbolique, la perfection se prolonge au–delà de son terme. Cet univers est un univers aux vertus transcendantes. On ne taxera donc pas de fausseté la déclaration de cet amant qui pare l'élue des grâces les plus achevées et se voue corps et âme à son service:

Si j'avais dans le ciel une amante nouvelle,
Je n'y monterais pas pour laisser Isabelle:
Quoique la beauté même eût de charmants appas,
En fussé–je adoré, je ne l'aimerais pas.

(Les Occasions perdues, III, ii)

Le *miles gloriosus*, fantoche connu pour son baroquisme, ne tarit guère d'éloges sur ses mérites inégalés. L'un de ces fanfarons, l'Emile de l'*Amélie*, "rabâche" de la sorte d'une traite sur des exploits antérieurs, bien embarrassé de se souvenir de leur nombre exact car

Il serait plus aisé de compter les étoiles...
Le sable de la mer, les feuilles des forêts,
Et les grains des épis...

(II, ii)

Voici enfin quelques vers isolés dont la surcharge est évidente:

"Je te mettrai si haut que la faux du trépas/Sans pouvoir te toucher passera sous ses pas" (*Bélisaire*, III, iv); "Il est en nom âme/Une si vive flamme,/ Qu'Etna ne brûle pas d'un feu si véhément" (*La Belle Alphrède*, IV, ii); "Plus changeant que le sort, moins stable que sa roue" (*La Soeur*, II, v).

II L'Opposition

Un tel, s'exagérant son importance aime à se différencier de ses semblables; un autre, accablé de maux, envie le bonheur d'autrui; un autre encore, de naturel irrévérencieux, se moque du personnage trop gourmé et ainsi de suite, selon l'endroit, la personne et les circonstances dominantes. Au regard préoccupé de l'être qui éprouve le

besoin de savoir et de comprendre ce qu'il expérience dans son activité quotidienne, tout apparaît une somme de hauts et de bas. Pour l'être baroque néophyte dans l'art de l'observation psychologique, la vie apparaît aussi cette somme de contrariétés et de difformités. Passionné dans sa tendresse, intrépide dans sa fougue, tourmenté dans sa quête métaphysique, cet *homo cogitans* fut unique, bien différent de ses prédécesseurs et de ses successeurs. Evoluant dans sa société à la fois barbare et policée, cet explorateur de lui–même et de son entourage ne pouvait ne pas s'apercevoir du perpétuel changement dans le cadre qui l'environnait. Travaillé par une sourde inquiétude, il se mêla d'observeret de souligner le décousu des conditions biologiques incontrôlables, de décrire les avatars des amants, les hasards de la guerre, les visées et déconvenues des ambitieux, les entraves considérables à l'essor du progrès... L'un d'eux, disciple d'Héraclite, paraît particulièrement possédé par ce besoin de rendre visible tous les contraires:

> De quelque côté que je jette les yeux dans le monde,
> je ne vois que des choses tout à fait contraires et
> des qualités parfaitement ennemies: le froid, le chaud,
> le sec, l'humide, le mol, le dur; la douceur et l'amertume,
> la grandeur et la petitesse; des mouvements opposés;
> autant de figures différentes qu'il y a objets
> et partout la guerre et la mêlée. Cela d'abord pourrait
> nous faire prendre le monde pour amphithéâtre, qui
> devrait bientôt finir ses spectacles par la défaite de
> ses combattants et juger que le tout ne se saurait conserver
> dans la dissension continuelle de ses parties.
> Néanmoins, par un prodige qui passe les autres merveilles,
> nous voyons que les espèces s'entretiennent par des corruptions;
> la privation est le principe de la puissance;
> les alliances se font par le moyen des inimitiés; la paix
> entretient la guerre et le monde se conserve entier
> par les défaillances continuelles de ses parties... (13).

Son cas n'est pas unique et les témoignages se multiplient, de même que les miroitements antithétiques. Que l'on relise les lettres de cet impénitent gausseur que fut Cyrano de Bergerac (14), que l'on dénombre les sautes d'humeur des satiriques de l'époque ridiculisant les us et coutumes de leurs compatriotes ou des nations voisines, que l'on étudie enfin et surtout les pièces de l'époque et sans doute alors se convaincra–t–on plus aisément de la validité de ce constat d'opposition. L'idée d'un monde rempli de dissimilitudes y devient vite sclérosée mais le tour pour l'exprimer atteint parfois à la virtuosité imagée. Preuve en soit cette dissertation hardie d'un valet de comédie, lui–même ébahi par la transformation d'un passé déficitaire en présent séduisant:

> La Vie est une farce, et le monde un théâtre...
> Hier je servais un maître, aujourd'hui j'en suis un;
> Hier j'étais en malheur, aujourd'hui dans la chance;
> Hier je perdais Elise, aujourd'hui je fiance;
> Hier j'attendais des maux, aujourd'hui force biens;
> Hier je quittais Lisbonne, aujourd'hui j'y reviens.
> Tout change enfin, messieurs, et, pour dernière preuve,
> Hier vous n'étiez pas là, ce jour on vous y treuve (15).

La Bruyère ne renouvelle–t–il et n'amplifie–t–il pas aussi la même idée lorsque, portraitiste désabusé, il relate cette disparité d'un rapport à l'autre sur le plan humain:

Les hommes n'ont point de caractères, ou s'ils en ont,
c'est celui de n'en avoir aucun qui soit suivi, qui ne
se démente point, et où ils soient reconnaissables...
Ils ont des passions contraires et des faibles qui se
contredisent, il leur coûte moins de joindre les
extrémités que d'avoir une conduite dont une partie naisse
de l'autre: ennemis de la modération, ils outrent toutes
choses, les bonnes et les mauvaises, dont ne pouvant ensuite
supporter l'excès, ils l'adoucissent par le changement (16).

Ces efforts délibérés pour évoquer et représenter des situations variables ou contraires, des attitudes inconstantes ou aux antipodes l'une de l'autre, des formes de vie pour ainsi dire inaccommodables enfantent une atmosphère de tension, de déséquilibre, de dérèglement.

Les manifestations les plus simples de l'amour retrouvent fréquemment ce caractère de contraste excessif qui constitue une des dominantes de forme dans le théâtre baroque. Des personnages inquiets et fantasques expriment leur passion en relations ambivalentes et en exagérations théâtrales. La passion amoureuse les possède, leur cause joies et regrets, leur suscite des états tour à tour de fureur et de langueur. Chez eux aussi cette passion s'exerce en libres abandons ou en compromis platoniques. Que l'on en juge plutôt dès les premiers vers de la tirade de cette jeune dépitée:

La source du premier et dernier de nos maux...
Vous l'entendez, la douleur qui me presse
Se peut dire un plaisir où manque l'allégresse,
Un agréable écueil, un redoutable port;
Un penser qu'on nourrit et qui donne la mort;
Un pénible travail qu'au séjour où nous sommes
Les dieux ont envoyé pour le repos des hommes;
Une captivité qui s'aime en ses liens;
Un bien source de maux, un mal source de biens:
Un principe de vie, et sa fin tout ensemble;
Une fièvre qui fait et qu'on brûle et qu'on tremble;
Une manne funeste, un fiel délicieux;
Un savoureux poison qui se boit par les yeux;
Une douce amertume, une douceur amère;
Une charge à la fois et pesante et légère;
Une mourante vie, un renaissant trépas;
Une flamme qui brûle et ne consume pas;
Un ciel où l'on se plaint, un enfer où l'on s'aime;
Une belle prison qu'on se bâtit soi—même.

(Les Captifs, I, i)

On est vite édifié sur la nature de son raisonnement et le mode de développement qu'elle affectionne: les beaux mots entortillés, les traits forcés, le verbiage incohérent.

Il n'est pas rare de rencontrer dans ce théâtre de ces jeux d'esprit agrémentant au—delà du nécessaire des situations "désespérées". Bien des figures de style se prêtent à ce raffinement dans l'élucubration de tels états d'âme. Pour les apprécier à leur juste valeur, il convient de pénétrer bien avant dans le labyrinthe baroque des contraires.

L'antonymie (17)

Le héros baroque de Rotrou est un nomade invétéré. Le hasard de la route l'oblige

parfois à se faire héberger dans un endroit public ou dans un château, mais il n'y est guère à demeure, ayant vite repris haleine. Chemin faisant, tout lui arrive. Chevauchées et équipées fantastiques se succèdent à un rythme fiévreux. Les aventures extraordinaires y abondent qui mettent aux prises des énergumènes au verbe haut. Rotrou dut se griser à souligner les alternances de tempérament dans ces situations de brusques malentendus, de rivalités aiguës, de contraintes odieuses...On peut s'assurer que la fréquence des développements antithétiques, des chocs d'intérêts, des traits, tons et formules inalliables accentuent l'évident parti pris chez ce dramaturge de ne besogner qu'en jeux d'extrêmes. Une des figures de prédilection pour ces oppositions consiste dans l'antonymie, une "manière" de jeu opposant simplement les mots: une alliance de mots. Cette figure de langage est obtenue par le groupement d'un adjectif à valeur émotive (doux, heureux, agréable), morale (innocent, criminel, saint), sensuelle (paisible, languissant, chétif) et d'un substantif souvent abstrait (dédain, rigueur, pitié, désespoir, tourment...). La figure est présente dans une trentaine de pièces, à plus d'une centaine de cas. Quelques pièces sont particulièrement pourvues de cette garniture de forme:

L'Hypocondriaque
"doux assauts" (I, i), "douces violences" (II, ii); "saintes furies" et "douce rebelle" (V, ii); "douces peines" (IV, iv); "douce furie" et "doux affront" (V, iii); "heureuse prison" (V, iv); "douce furie" et "Heureux occident" (V, vi). Heureuse mort/" (V, vi).

Laure persécutée
"Beau crime" (I, i; II, v); "serpent domestique" (I, v); "douce peine" (X, xi); "illustre esclave" et "liens dorés" (II, vi); "beau naufrage" et "bel écueil" (III, ii); "muets discours" et "un plaisir déplaisant" (IV, ii); "disent muettement" (V, iv); "voix muette" (V, ix).

Une reine aux inquiétudes et aux hésitations dissonantes offre même le cas d'une antonymie suivie. Son intempérance oratoire accumule des jumelages sudorifiques:

Heur malheureux, heureux malheur,
Agréable et triste nouvelle,
Tu me plais et déplais, tu m'es douce et cruelle,
Et je maudis ensemble et bénis ta valeur.

(Agésilan de Colchos, II, viii)

L'oxymoron

Nulle figure de rhétorique ne révèle mieux quelle adresse à truquer et à forcer l'imagination est liée à la technique de faire figurer ensemble des propriétés inalliables. L'oxymoron est tout artifice mais aussi toute vision neuve. Souvent, sous l'embarras des formules, on fait allusion à son caractère d'absurdité et d'affectation de mauvais goût. On peut déplorer semblable incompréhension. Il faut au contraire souligner le potentiel de transmutabilité dans une telle figure, faire constater son esthétisme "magique" qui annule la fixité des formes et modifie tout ce qui est immuable: les essences, les spécificités, les certitudes. L'oxymoron actionne le processus de dissolubilité de la matière, forme un faisceau d'évanescences troublantes, raie tous les principes de permanence:

"marbre liquide" (*L'Hypocondriaque* IV, i); "vivants écueils" (*Iphigénie en Aulide* I, v); "rames humaines" (*Bélisaire*, V, v); "rempart volant" (*Don Bernard de Cabrère*, II, iii); "rocher mouvant" (*L'Heureux Naufrage*, IV, iv); "mouvantes murailles" (*Don Lope de Cardone*, III, iii).

L'antithèse

"Le goût de l'antithèse procède du besoin d'agir sur le lecteur," prévient fort bien M. Morier (18). Comment en douter alors que pour Rotrou, tout est dissemblable, tout devient lieu d'opposition et de conflit. L'antithèse, il l'a cultivée au mépris de toute logique, sous toutes ses formes, à tous les niveaux de la création, dans les situations, dans le jeu des sentiments et des attitudes, dans la construction et l'arrangement des mots.

a) **dans les sentiments:**

Des mouvements contraires désemparent une reine irrésolue. Insatisfaction féminine? . Peut–être est–elle surprise par la tournure des événements? . Qu'à cela ne tienne, les déclarations aux collisions étranges allègeront les incommodités physiques:

Je crains également et sa vie et sa mort;
L'une et l'autre m'est dure, et l'une et l'autre m'est douce;
Mon amour me retient, quand ma fureur me pousse;
L'une sait m'irriter, et l'autre m'apaiser;
Je voudrais le frapper, et voudrais le baiser.
O mouvements divers, peur, désir, amour, haine...
Puis–je...
Le baisant l'outrager, et l'outrageant le plaindre;
Vouloir, ne vouloir pas, et désirer et craindre:

(Agésilan de Colchos, V, iii).

De la situation délicate de la femme reconnue soeur de l'homme dont elle partageait la couche naissent des incertitudes et des jeux de mots équivoques. La douleur de "l'époux" ne manque ni intérêt ni saveur piquante:

Je doute quel des deux est moins m'assassiner,
Ou de la retenir, ou de l'abandonner;
Et ce m'est une peine également cruelle
Que de vivre avec elle et de vivre sans elle...
Je ne puis accorder mon sang avec ma flamme:
Je recouvre une soeur, et je perds une femme...
Mon sang à mon amour fait un juste reproche:
Si je te l'étais moins, je te serais plus proche;
Tu m'es trop et trop peu; mon mal naît de mon bien,
Et tu m'es tant enfin que tu ne m'es plus rien.

(La Soeur, IV, vi)

b) **dans les situations:**

Un roi, ironiste à froid, prétend inculquer de très hautes pensées dans l'esprit de son fils mais constate amèrement que la profession de roi n'est pas de tout repos, que les meilleures intentions sont parfois vouées à l'incompréhension, à la défiance même:

A quelque heureuse fin que tendent ses projets,
Jamais il ne fait bien au gré de ses sujets:
Il passe pour cruel, s'il garde la justice;
S'il est doux, pour timide et partisan du vice...
S'il pardonne, il est mol; s'il se venge, barbare;
S'il donne, il est prodigue, et s'il épargne, avare.

(Venceslas, I, i)

Une femme déguisée en homme (19) se vante de mettre à mal bien des jeunes filles puis, doit rabattre de ses prétentions devant le manège d'un soupirant trop entreprenant:

C'est où je reconnais mon pouvoir inégal:
Je sais bien attaquer et je me défends mal;
J'abats et l'on m'abat, je fais aimer et j'aime;
Je fais que tout se rend et je me rends moi–même.

(La Célimène, IV, iii)

La métamorphose cosmique

On s'accorde à voir dans la métamorphose une hantise de la sensibilité baroque. Le début du XVIIe siècle voit à ce sujet naître une poésie aux nombreuses images de la transformation formelle de tout ce qui entoure l'homme, qu'il s'agisse de son espace en hauteur ou de la matière qu'il utilise à ses fins.

Parmi les poètes les plus en vue de l'époque, Théophile de Viau et Saint–Amant y consacrent particulièrement leur talent. Ils évoquent des scènes de vision apocalytique où les éléments ne se distinguent plus et s'unissent au mépris des lois de la pesanteur, où le chaos règne (20). Les modifications les plus fantastiques sont obtenues à partir d'illusions d'optique (le clair–obscur) et de bouleversements dans la perspective (prolongements visuels tant sur le plan vertical que sur le plan horizontal, rapprochements du ciel et de la terre par le jeu des surfaces miroitantes). Ce genre d'aberration n'est toutefois pas l'apanage exclusif de ces poètes. Rotrou, toujours à l'affut des moindres effets d'opposition et sans doute aussi par son goût pour l'outrance retrouve leur sillage. Très vite, il concentre les ressources de son imagination à tout déformer, à mettre en valeur le spectacle de la chute, de la destruction, de la désagrégation.

Un comte sicilien sur le point de toucher au terme de son voyage et de ses désirs croit l'univers ligué à sa perte:

La terre à mon avis s'allonge sous mes pas,
Et le soleil, jaloux du feu qui me consume,
Fait, ce me semble, un tour plus long que de coutume.
Le château qui conserve un si rare trésor
Recule pour me nuire...

(La Bague de l'oubli, II, i)

Les morsures de la jalousie poussent un désespéré à nier l'évidence. Abreuvé de honte, il se refuse à incriminer la déloyauté de ses semblables, préférant discréditer la nature entière:

Ah! ciel! ce n'est point toi qui régis la nature;
Tes astres impuissants errent à l'aventure;
La région du feu n'a point de pureté;
La terre, quoi qu'on dise, est sans stabilité;
L'ombre produit les corps, et les corps suivent l'ombre;
L'astre du jour est fixe, et sa lumière est sombre

(Laure persécutée, III, viii)

Le paradoxe

La distinction entre l'antithèse d'idée et le paradoxe de même nature est ténue.

Tous deux peuvent désigner en certains cas des alternances de goût, de sentiment, de philosophie. Le paradoxe pourtant va au–delà de l'opposition systématique. Il surprend par le rapprochement et l'alliance de l'impossible au possible selon une perspective bien calculée et qui ne se retrouve ni dans le monde de la logique ni dans les états de chose habituels. Il s'agit donc, une fois de plus, d'un dépassement de la réalité, une manière artificielle de la déformer, en l'occurrence une affirmation absurde de la coexistence harmonieuse d'états contraires. L'abus criant du paradoxe dans le théâtre de Rotrou, le jeu des significations supplémentaires qu'on en déduit et les valeurs floues qui en résultent indiquent que le monde du Baroque chez ce dramaturge est aussi un monde de l'illogisme, du choquant. Les deux séries d'exemples retenus n'offrent qu'un faible aperçu de la fréquence de leur emploi dans cet univers de la fantaisie. La première série contient des exemples prélevés hors contexte:

> "La force est un conseil qui vient de la raison" (*L'Hypocondriaque*, II, ii); "Tu reconnais ici, cher auteur de ma peine, / Un effet d'amitié dessous un front de haine" (*La Céliane*, I, ii); "plus je parais son fils, moins il paraît mon père" (*Laure persécutée* I, viii); "En me faisant du bien. vous me fûtes barbare, / En m'obligeant cruel, en me donnant avare" (*Bélisaire* I, iv); "Il n'est rien de si dur que le corps ne digère" (*La Soeur* III, ii).

L'autre série se compose de paradoxes suivis. Le premier cas nous met en présence d'un virtuose des hémistiches antithétiques. Le transfuge dont il est question associe des mérites opposés en de puissantes déclarations paradoxales:

> Vous produisez l'amour dans le sein de la haine;
> Où je suis la fureur je cède à la raison
> Et je vous suis loyal, dedans la trahison.
>
> *(Bélisaire,III, ii)*

Un gentilhomme surpris à l'improviste par le prince qu'il servait mal conserve tout son aplomb et se désolidarise au moyen d'une parade équivoque:

> Ma foi même, Seigneur, a corrompu ma foi;
> Trop fidèle sujet et valet infidèle,
> C'est pour avoir trop eu que j'eus trop peu de zèle.
>
> *(Laure persécutée, IV, ix)*

L'ironie

L'ironie ou antiphrase, ainsi que M. Morier le clarifie en dénombrements précis, est commandée par divers sentiments (21) et, pourrait–on ajouter, relève de registres alternant du tragique au comique en passant par la colère, la raillerie et l'allusion burlesque. Elle exprime en outre une croyance opposée à celle admise ouvertement. Elle consiste donc en un jeu de dissimulation et en une interposition entre la pensée implicite et explicite.

Un père croyant sa fille ignorante de sa tragique destinée s'exprime par allusions voilées. Mais son enfant se refuse au jeu et réplique d'un ton âpre:

> AGAMEMNON
> J'ai de ce sacrifice ordonné les apprêts.
>
> IPHIGENIE
> Vous prenez trop de part dedans mes intérêts.

AGAMEMNON
Mes voeux en obtiendront le succès que j'en espère.

IPHIGENIE
Ils passent les devoirs et l'amitié d'un père.

AGAMEMNON
Il faut considérer la victime avec soin.

IPHIGENIE
Alors qu'on l'ouvrira je n'en serai pas loin.

(Iphigénie en Aulide, IV, ii) (22).

Un page tombe aux mains de voleurs en veine de confidences. L'un d'entre eux prend la parole, en samaritain expressif:

J'aborde tout le monde, et mes soins innocents
Veillent à soulager la peine des passants;
Quelquefois, assisté de deux ou trois des nôtres,
Nous déchargeons les uns, nous époudrons les autres;
Et ceux dont la sueur a les membres mouillés,
Ne sortent de nos mains jamais que dépouillés.

Un autre, Caton élégant, se met au diapason et arrondit sa phrase à l'égal d'un petit–maître:

Non, non, ce vêtement est bien à mon usage,
Joint qu'il me semble un peu trop riche pour un page;
Couvre–toi d'un habit plus simple à ton retour,
Et dis que j'ai dessein de réformer la cour.

(L'Hypocondriaque, V, ii)

Antimétaboles et chiasmes

Il nous a été donné d'étudier le mécanisme de l'opposition dans le langage et les idées. Voici quelques exemples qui l'étendront à la construction sous forme d'antimétabole (les deux premiers) et de chiasme (les deux derniers), des jeux de symétrie axiale et de croisement des termes:

Tous doivent tout pour lui, seul il doit tout pour tous:
Tout notre sang est sien, tout le sien est à nous.

(Iphigénie en Aulide,II, iii)

De tout un monde entier je l'aurais pu défendre...
Un monde ne pourrait le défendre de moi.

(Clarice, III, i)

D'homme devenez fille, et maîtresse de maître.

(Agésilan de Colchos, I, ii)

Sachez qu'à votre corps l'âme est plus étrangère,
Les ombres à la nuit, au soleil la lumière...

(Célie, IV, ii)

III. L'Analogie

Le dramaturge baroque, conscient de l'esthétique et plaisante et sérieuse de ses chamarrures stylistiques abandonne parfois le monde de la lutte à grand spectacle (poursuites interminables, naufrages spectaculaires, malentendus tragiques, folies romanesques) ou simplement intériorisée (prises de conscience tortueuses, dilemmes médités, résolutions monologuées) pour l'intermède de la description imaginaire. C'est alors que l'action de sa pièce languit et que les développements oratoires et poétiques sont de saison. L'exagération, le contraste, le paradoxe s'encastraient tant bien que mal à son montage, l'ironie également selon la situation ou l'humeur d'un personnage; la forme analogique, contre toute attente, n'y relie aucun élément et sert tout au plus à créer une impression de discontinuité et d'ostentation gratuite. Dans un art aux exigences aussi prononcées que le théâtre, fût–il baroque, on ne s'attend guère à la désorganisation de l'intrigue par la digression d'ordre allégorique, symbolique ou idéologique, en tout cas certainement pas par une rhétorique de lieux communs ineptes ou de comparaisons diffuses. Le style de théâtre se veut concret, sans délayage vers l'ambigüité, l'invraisemblance ou l'exubérance verbale. Or dans le théâtre de Rotrou, c'est le contraire qui est vrai. Des métaphores hermétiques, des antonomases amphibologiques, des synecdoques et métonymies retorses, des périphrases–devinettes outrées et des jeux d'antanaclases maniéristes amusent et déconcertent l'esprit du lecteur moderne.

Un univers aux riches innovations est de la sorte esquissé. Encore faut–il souligner d'emblée son caractère d'éphémérité car tout semble mécanisme trop ingénieux, prêt à être désassemblé pour amélioration prochaine. C'est bien l'univers de l'être et du paraître enjolivé à plaisir.

La métaphore

La métaphore, ce porte–étendard de l'analogie qui procure le maximum de surprise dans le théâtre baroque est la métaphore "violons ailés", ou métaphore de déguisement que M. Rousset a parrainée et définie "charade proposée en devinette à l'ingéniosité du lecteur" (23). Son mécanisme de fabrication est relativement simple et consiste en une transformation totale de l'objet à métaphoriser tout en lui conservant certaines de ses propiétés génériques. Un oiseau, de la sorte, par son anatomie qui lui permet de se maintenir en l'air, et par ses cordes vocales qui lui permettent de se faire entendre, devient un "violon ailé". Voici quelques–unes de ces trouvailles à charnières énigmatiques:

les étoiles: "feux inconstants" – "feux immortels" – "moindres luminaires" (*Les Sosies*, I, i; *Iphigénie en Aulide*, V, i; *Les Occasions perdues*, V, v).

l'oiseau: "chantres des airs" – "chantres ailés" (*Florimonde*, I, ii – *Le Filandre*, V, iii; *Clorinde*, V, iv).

les enfers: "manoir hideux" – "ténébreux manoir" (*Hercule mourant*, V, ii; *L'Heureux Naufrage* III, ii).

la lune: "la courrière des nuits" (*L'Innocente Infidélité*, IV, ii).

l'estomac: "le coffre naturel" (*Les Ménechmes*, I, i).

Deux cas de périphrases–métaphore sur le "Temps":

"Ce vieillard affamé /. Qui vit de ce qu'il engendre" (*L'Heureux Naufrage*, IV, ii); "Ce Dieu qui se dévore et se reproduit, / Qui se cherche soi–même et soi–même se fuit" (*Laure persécutée*, I' X) (24).

Les antonomases mythologiques

L'antonomase ou *pronominatio*, pour utiliser un cloisonnement sommaire, est une variante lointaine de la périphrase, une manière de synecdoque (25) qui permet tantôt une juxtaposition tantôt une substitution d'une époque à une autre par une méthode de pseudonymie et de "prête–attribut" désirable ou non. Considérée sous une perspective comparative, l'antonomase sert à la suppression de l'idée de durée et de variation, bref de la réalité. Elle engendre la manie du détour, du rappel indirect, aussi bien que des rapports inhabituels entre des personnes distinctes. En d'autres termes, elle permet l'existence de rapports illusoires et refuse la démarcation temporelle ou le concept de périodicité.

A l'aide d'une comparaison dépréciative, un parasite entend réclamer son dû en paiement d'un "bienfait":

Je suis ton Jupiter; prouve–moi ta ferveur,
Et par un bon repas acquiers–toi ma faveur.
Et le maître "gouailleur" d' entrer dans le jeu:
Mon bonheur dépend donc d'un dieu bien affamé

(Les Captifs IV, viii)

Un jeune noble s'étant dissimulé entend une reine le déclarer en sa compagnie alors que et pour cause, il se sait éloigné d'elle. Il s'exclame dans la direction de son serviteur:

Lysis, puis–je être ici, chez elle, et chez la reine?
Hélas! quel Jupiter baise mon Alquemène?

Le serviteur, à cette question angoissée, a la répartie malicieuse, à la hauteur des événements:

Que ne vous dresse–t–on des autels comme aux dieux,
Si comme tous ces esprits vous êtes en tous lieux?

(Les Occasions perdues, V, ix)

Un père ému au–delà de toute description lors du retour d'un fils enlevé au berceau en profite pour se livrer à un tel jeu de métamorphoses que l'on éprouve quelques difficultés à distinguer entre l'appel à l'imagination et l'expression des sentiments sincères:

Ma vieillesse a cessé quand tu l'as abordée;
De ce mourant Eson ta vue est la Médée;
Ma vigueur se répare, et sous ces cheveux gris
Je sens mon premier sang et mes premiers esprits.

(Les Captifs V, i)

L'amour chez une voyageuse est source de souffrances et d'espérances; il lui sert aussi de formel démenti à la légende d'une reine se suicidant par amour:

Enfin, sous ces habits, sans suite, abandonnée,
Je suis, triste Didon, ce vagabond Enée

(Les Deux Pucelles, II, v)

Les métonymies et synecdoques de diversion

Plus n'est besoin de définir ces figures aux aspects multiples: la plupart des compilations des rhéteurs anciens en ont tenu compte et les ont expliquées avec bonheur en de savantes logomachies. Elles favorisent de nouveau la création de l'illusion par l'établissement de liens entre l'évident et l'invisible, entre ce qui est réel et ce qui est déréalisation insolite. Elles suggèrent des analogies fluides.

L'image du havre étant consubstantielle à la conception d'une raison équilibrée, voici comment Rotrou le suggère pour diagnostiquerun recouvrement de raison:

Et ma nef échappée est revenue au port.

(Les Deux Pucelles, III, v)

Toute la prodigieuse moinaille de Rabelais accueillerait sans doute bien volontiers ce franc compagnon au verbe si poétique:

Je soumets toute chose à la beauté d'un verre
Où Bacchus me paraît sous un teint plus riant
Que celui du soleil n'est dessus l'Orient.

(Les Ménechmes, I, i)

Un valet poltron introduit un élément de comédie, voire de parodie, dans sa verve inventive:

Et mes pieds pouvaient seuls me sauver de leurs mains.

(Les Deux Pucelles, III, ii)

Les antanaclases—concetti

Les jeux de mots qui invitent à la confusion habile entre un sens propre et un sens figuré sont un passe—temps favori des écrivains baroques (26). L'antanaclasetend même à se transformer en étranges harmoniques lorsqu'elle est jeu de polyptotes; témoin cette situation précaire d'un parasite mourant d'inanition:

Mais la honte pourtant m'invite à la retraite;
Tous me traitent de même, et pas un ne me traite.

(Les Captifs III, i)

Voici quelques scènes d'amour où évoluent de ces beaux parleurs à la redondance pédante. Le verbe *perdre* y signifie tour à tour, destitution matérielle et déchéance morale; abandon émotif et gaspillage de temps; causalité de mort et conservation du souvenir:

Je perdrai pour les perdre et fonds et revenu,
Et, comme on le dépeint, leur amour sera nu.

(Amélie, IV, iii)

J'avais perdu mon coeur, ils perdaient leur paroles.

(Amélie, IV, iv)

Et perdre ce cruel pour ne le perdre pas

(Agésilan de Colchos. V, iii)

Ce même jeu peut se reproduire à l'infini et porter sur des termes à la valeur imagée moindre, sur l'épithète *léger* signifiant tour à tour "inconstant" et "d'un poids minime". Toute la variété tend à des rapprochements équivoques:

Je ne m'étonne pas, si léger, si mouvant,
Que je sois le jouet et de l'onde et du vent.

(La Belle Alphrède, III, i)

Il semblait que, changeant l'allure coutumière,
Mon cheval marchât moins en avant qu'en arrière,
Qu'il craignît d'avancer, et que cet animal,
Moins léger qu'elle n'est, fût sensible à mon mal.

(Les Occasions perdues, V, iv)

Parfois toute la variété sur le sens des mots dépend d'un jeu au second degré, de la solution d'une pointe–énigme. La situation se présente dans la tragi–comédie, *Don Bernard de Cabrère*, où le favori royal prétend à la main d'une Infante. On assiste à l'entrevue des deux personnages, au départ du favori et à la perplexité de l'Infante qui s'attelle à résoudre le sens des aveux tarabiscotés qui viennent de lui être susurrés. Elle y renonce comme il fallait s'y attendre:

Je cherche des clartés, et n'en rencontre aucune
Ni dedans ce soleil, ni dedans cette lune.

(V, ii)

Que ne l'informait–on du jeu sur le nom de famille du favori, de Lune, et sur la convention galante qui veut que la silhouette de l'être adoré, captée par une surface miroitante, soit comparée à un soleil ¡Peut–être alors cette union stellaire se fût–elle matérialisée le plus facilement du monde!

L'allusion

L'allusion est une figure compliquée. M. Morier en distingue un minimun de quatre types, soit que l'allusion relève (a) du changement de circonstance; (b) du transfert d'endroit, de milieu ou de valeur; (c) du rapport formel; (d) du symbole (27). On y reconnaît un jeu purement intellectuel sur le détour de l'intention, pour des raisons de pudeur, de satire voilée, de flatterie...Les quatre exemples retenus démontrent la singularité de l'esprit qui s'en sert, qui, pour son seul plaisir, combine des jeux superficiels d'apparences anodines et de sous–entendus autrement suggestifs!

l'infidélité: "Ah, perfide! ¡est–il vrai que j'idolâtre un onde? "
(Les Occasions perdues IV, iv)

l'entremise: "C'est de ma volonté faire une maquerelle"
(Les Occasions perdues, IV, v)

la couardise: "Quant à partir du pied, je n'en cède à personne"
(Clarice, IV, vii)

la dépravation: "Sais quel saint est le bien et comme il est chômé"
(Clarice, III, ii)

Le cas d'un divertissement énigmatique, constitué d'une série de parallèles sur un élément quasi immatériel (l'esprit), et d'images du mouvement, terminera cette enquête sur les multiples facettes de l'analogie baroque. Pour retrouver une paix intérieure disparue irrémédiablement, un esprit désillusionné se propose de maintenir ses distances à l'égard d'un insensible, non sans quelque prétention mystérieuse:

Je voudrais vous laisser un gage d'importance,
Mais léger beaucoup plus que la même inconstance:
Sa nature est de vent que tout peut agiter.
Il faut être un Eole afin de l'arrêter.

Dès que le mystère est dissipé, une longue mise à l'indexe est amorcée, réminiscente des antipathies médiévales:

Tous les travaux qu'Alcide a jamais entrepris
Sont moins que d'arrêter ces volages esprits;
Une flèche dans l'air, des ondes agitées,
Des flammes vers le ciel peuvent être arrêtées;
On peut apprivoiser les plus fier animaux,
Ils perdent leur instinct, on n'en craint plus les maux;
On voit avec le temps leur nature changée:
La femme seulement ne peut être changée.

(Les Occasions perdues, IV, iv)

L'oeuvre théâtrale de Rotrou, selon une remarque liminaire, n'a pas autant qu'elle le devrait retenu l'attention des érudits modernes. La pensée du dramaturge, ses sources, ses mérites ont été l'objet d'analyses et de commentaires très satisfaisants, dans la mesure où cette pensée s'inscrivait en conformité ou en opposition à des courants de pensée contemporains et modernes. Son talent, la forme d'expression de ses esquisses dramatiques demandent un traitement et des rapprochements complémentaires.

Les travaux fouillés de MM. Orlando et Morel (28) répondent en partie à cette nécessité. Leurs repérages chez l'un de motifs imagés chez l'autre de constantes et de variantes dans la structure du drame de Rotrou nous permettent de mieux comprendre toutes les nuances de goût et de jugement qui se font l'auxiliaire de l'imagination d'un dramaturge du XVIIe siècle. L'étude de M. Morel en particulier constitue même une base de départ pour l'étude des rapports entre les formes de style et l'atmosphère d'ambigüité qui imprègne l'oeuvre. Mais il existe d'autres atmosphères et d'autres formes de style déchiffrables qui posent un problème à l'érudition moderne. Cette étude s'est attachée à en percevoir et en reconstituer quelques-unes. Rotrou, par ses procédés de style sur le jeu des contraires et des parallèles forcés, particularise la vogue des aventures extraordinaires dans un univers situé hors des espaces et des évolutions psychologiques conventionnels. Son imagination débridée le pousse à créer un univers mythique où chacun suit son tempérament, emporté vers un extrême ou trop retenu par un autre, où chacun s'envisage conquérant de l'univers ou psychologue des contraires.

L'étude du *débordement*, de l'*opposition* et de l'*analogie* dans le style de ce théâtre ne rend assurément pas compte de toutes les qualités formelles d'un art qui ne s'affirme que dans la multiplicité et la dispersion de ses effets visuels et auditifs. Elle tend à faire miroiter quelques reflets significatifs de l'univers qui n'était ni l'univers idéalisé de la Renaissance ni l'univers épris d'harmonie universelle du Classicisme. Elle fournit en outre une méthode favorable et rentable dans l'analyse stylistique du jeu des illusions mensongères, des apparences complexes et contradictoires, de tout ce qui incarne le Baroque dans l'oeuvre théâtrale de Rotrou.

NOTES

1. Bien des études ont relevé les caractères généraux de ce théâtre en s'intéressant tantôt à ses formes thématiques, tantôt à ses motifs, et ont attiré l'attention sur le goût moderne du dramaturge. Pour une bibliographie complète des travaux critiques, on consultera Charles R. Osburn, "Introduction to Jean Rotrou: A Bibliography (1880–1965)", *STUDI FRANCESI*, XII (1968), pp.401–411.

2. Au XVIIe siècle, le débat sur l'être et le paraître, le naturel et l'affectation, "obsède les moralistes..., fascine les dramaturges", permet judicieusement d'observer Jean Rousset. Cf. sa *Littérature de l'âge baroque en France. Circé et le paon* (Paris. 1954), p.226. Le premier tiers de l'époque paraît même s'être accommodé d'une mode connue sous le nom de *paroistre*. Cf. sur ce point *Les Caquets de l'Accouchée*, éd. E. Fournier (Paris, 1855), p.178.

3. L'étude succincte du professeur Raymond Lebègue, "Rotrou dramaturge baroque", *REVUE D'HISTOIRE LITTERAIRE DE LA FRANCE*, L (1950), pp.379–384, est la première en date à offrir un aperçu analytique des composantes de style chez Rotrou. Elle en détermine deux caractères essentiels, les éléments concrets, descriptifs, et les formes précieuses. A une date plus récente, un autre professeur, Jacques Morel, a consacre tout un appendice de son gros livre, *Jean Rotrou dramaturge de l'ambiguité* (Paris, 1968), à un examen très attentif des traits ironiques et des pointes qui apparaissent dans ce théâtre.

4. C'est bien ce que semble impliquer l'encouragement de Jean Rousset, "Le Problème du Baroque littéraire français. Etat présent et futur", *STUDI FRANCESI*, Supplément au numéro XXI (sept.–déc. 1963), p.51. Cf. un ordre d'idée analogue chez Marcel Raymond, "Le Baroque littéraire français (Etat de la question)", *Vérité et poésie* (Neuchâtel, 1964), p.167.

5. Parmi les recensements les plus importants, citons les listes dressées par Bruce A. Morrissette, "Structures de sensibilité baroque dans le roman préclassique", *CAHIERS DE L'ASSOCIATION INTERNATIONALE DES ETUDES FRANCAISES*, XI (1959), pp.88–89 et Helmut Hatzfeld, *Estudios sobre el Barroco* (Madrid, 1964), pp.424–425. Il existe en outre une excellente mise au point du professeur Henri Morier, *La Psychologie des styles* (Genève, 1959), pp.263–264.

6. Rousset, *Littérature*, pp.181–182.

7. Rotrou, à l'instar de bien de ses contemporains, emprunte à droite et à gauche. Il adapte surtout les drames des Anciens (Euripide, Plaute, Séneque), des Italiens, des Espagnols. Il porte également à la scène des passages, parfois l'intrigue générale, des romans de l'époque: l'*Astrée* de d'Urfé, le *Cléagénor et Doristée* de Sorel. Sur tous ces renseignements, cf. Henry C. Lancaster, *A History of French Dramatic Literature in the Seventeenth Century* (Baltimore, 1929–1932), I, i–ii; II, i–ii. Son drame emprunte surtout à l'Espagne, pays dont il reflète l'expressionnisme coloré.

8. Jean Rotrou, *Oeuvres*, éditées par Viollet–le–Duc (Paris, 1820), 5 vols. Toutes les citations renvoient à cette édition. Les références scéniques seront dorénavant indiquées après chaque citation. Pour la commodité et l'uniformité de langue, la graphie de l'édition du XIXe siècle et les citations des oeuvres du XVIIe siècle ont été modernisées.

9. J. Scherer, *La Dramaturgie classique en France* (Paris, 1964), p.337.

10. Etablir un relevé exhaustif de toutes les scènes d'horreur dans le théâtre de Rotrou tient de la gageure. Parmi les pièces les plus riches à cet égard, *Crisante et L'Innocente Infidélité* se recommandent. J. Morel a relevé quelques–unes de ces scènes dans *Hercule mourant*; cf. voir son étude "L'*Hercule sur oeta* dede Sénèque et les dramaturges français de l'époque de Louis XIII", *Les Tragédies de Sénèque et le théâtre de la Renaissance*, éd. J. Jacquot (Paris, 1964), pp. 108–109.

11. Odette de Mourgues constatait déjà la présence de ces nombres hyperboliques dans la poésie d'Agrippa d'Aubigné. Voir "Le Problème de l'image poétique à la fin de la Renaissance", *CAHIERS DU CENTRE INTERNATIONAL DE SYNTHESE DU BAROQUE*, III (1969), p.84. Cette prolifération de chiffres astronomiques se retrouve chez la plupart des poètes de l'époque, entre autres chez Saint–Amant pour qui il est parfois question de "cent et cent têtes, mille et mille poissons, cent mille outils". Il s'agit en définitive d'une constante de sensibilité baroque

un jeu banal sans doute mais qui correspond bien à cette intention de pousser à leur extrême des visions déjà amples.

12. Dominique Bouhours, *La Manière de bien penser dans les ouvrages d'esprit* (Paris, 1687), p.24.

13. Yves de Paris, *De l'indifférence*, éd. R. Bady (Paris, 1966), p.95. Les pensées sur la présence des contraires dans l'univers, pour baroques qu'elles soient, indiquent aussi un père Yves de Paris très amateur de Sénèque. Voir des pensées concordantes chez Sénèque, dans ses *Lettres à Lucilius*, XVII–XVIII, cvii, 8: "contrariis rerum aeternitas constat".

14. Se reporter surtout à ses lettres "Sur l'ombre que faisaient des arbres dans l'eau" et "Enigme sur le Sommeil". éd. L. Erba (Milan, 1965), pp.37–38; 195–196.

15. Philippe Quinault, *Les Rivales*, V, vi, *Théâtre Choisi*, éd. V. Fournel (Paris, 1882), p.59.

16. La Bruyère, *Les Caractères*, éd. R. Garapon (Paris, 1962), p.345.

17. La plupart des définitions des figures de style utilisées dans la présente étude sont tirées de Henri Morier, *Dictionnaire de Poétique et de Rhétorique* (Paris, 1961) et de Heinrich Lausberg, *Elemente der Literarischen Rhetorik* (Munich, 1963).

18. Morier, *Dictionnaire*, p.30.

19. Le thème romanesque du déguisement des sexes et surtout de la femme travestie remonte à l'antiquité. Rotrou en a fait ses choux gras dans plus du tiers de ses pièces qui nous restent. Cf. *L'Hypocondriaque* (homme déguisé en femme). *Cléagénor et Doristée, Diane, Célimène, L'Heureux Naufrage, La Céliane, La Belle Alphrède, Agésilan de Colchos* (homme déguisé en femme), *Florimonde, Clorinde, Amélie, Les Deux Pucelles, Laure persécutée*.

20. Jean Rousset, *Anthologie de la poésie baroque française* (Paris, 1961), II, pp.16–23. Il convient dans ce domaine de relire l'ode "Un corbeau devant moi croasse" de Théophile de Viau et surtout les strophes finales du "Contemplateur" de Saint–Amant. Un phénomène non moins curieux est constitué par le spectacle de nombreuses apparitions célestes, apparitions qui sont souvent accompagnées d'impressionnantes perturbations cosmiques. Cf. *Hercule mourant*, V, iv; *Les Sosies*, III, v et V, iv; *Saint–Genest*, IV, iv. Pour une description détaillée d'une de ces scènes d'apothéose, cf. *Le Mémoire de Mahelot*, éd. Henry C. Lancaster (Paris, 1920), p.103.

21. Morier, *Dictionnaire*, pp.217–219.

22. Il suffit pour mesurer toute la distance qui sépare un jeu de scène classique d'un jeu de scène baroque de se reporter à *l'Iphigénie* (IV, iv) de Racine. Plus de barrage stichomythique ni surtout cet art de dérober la réalité sous de feints ménagements. Une simple grandeur d'âme, très émouvante, d'une héroine qui n'entretient certes plus d'illusions sur sa destinée mais qui se soumet et est d'une tendresse filiale peu commune.

23. Rousset, *Littérature*, p. 186.

24. Morier détecte une indigence d'esprit dans l'emploi abusif de la périphrase, *Dictionnaire*, p.300. Reconnaissons–y aussi le désir d'accentuer la complication gratuite et l'intention bien arrêtée de concrétiser davantage l'abstrait.

25. Lausberg, *Elemente*, p. 71.

26. Morel, *Rotion*, pp.307–314.

27. Morier, *Dictionnaire*, pp.6–15.

28. F. Orlando, *Rotrou dalla tragicommedia alla tragedia* (Turin, 1963).

I

PSYCHOLOGICAL PROJECTION IN *THE RIME OF THE ANCIENT MARINER*

Dra. Faith Wotton Cartwright *

The Romantic poets were intensely concerned with the idea of the individual man as separated, alone, isolated, even alienated—if not from his god, at least from his society and his organic environment. This profound sense of spiritual isolation is evident in much Romantic poetry, and Samuel Taylor Coleridge is one of the poets who most frequently concerns himself with this theme.

In *The Rime of the Ancient Mariner*, Coleridge associates the concepts of isolation and sin. He does this by placing his ideas about isolation and sin into the frame of the archetypal myth of spiritual rebirth. On this allegorical level, man, who is initially innocent, becomes separated from the rest of the world through an act of evil. Eventually, he regains a new understanding of his place in the universe and a unity with it. Coleridge depends specifically upon the Christian myth or tradition of the fortunate fall, and his choice of symbols and images points directly to this ethic. This does not, however, keep him from including magical signs or pagan images to show the isolation of man.

On the individual level, one man, the Ancient Mariner, moves through three stages in his spiritual life: innocence, isolation and reunity with the universe. To demonstrate this, Coleridge uses the technique of psychological movement, a projection or externalization of the Mariner's state of mind. For this externalization, Coleridge, with a typically Romantic interest in the sensory perceptions, concentrates heavily on light–images. In this paper I wish to trace these light–images (and their associate eye–images) which suggest the psychological progression within the poem and to show that Coleridge's use of light–imagery is consistent throughout *The Rime of the Ancient Mariner.*

Coleridge's first use of eye–imagery is in the first stanza. As suggested above, these images sometimes relate to the Christian ethic, but sometimes have magical implications. The "glittering eye" of the Ancient Mariner is a frequently repeated phrase and seems to denote not just the inner spiritual knowledge and feverish need to impart it to those in spiritual danger, but also is reminiscent of the pagan concept of the "evil eye" which contains hypnotic powers. "He holds him with his glittering eye... The Mariner hath his will" 1/. This reference to the "glittering" and "bright–eyed" appearance of the Mariner prepares the way for the tale to come by hinting at the supernatural portent of the Mariner's story. We will also find this specific reference mentioned throughout the story, and thus it serves as a unifying device.

The second way in which the eye–references prepare us for the tale is in the understanding of the eye as a sensory organ, able to perceive light. The sun and the moon are the two main recurring images throughout the poem, and, as such, these light sources will be my main concern. The way in which the Mariner perceives the sun and moon and interprets their appearance during his experience is central to the theme of the three stages of his development: his interpretations of the sun and moon demonstrate his psychological development. As Irving Babbitt comments, "the soul is a state of the landscape and the landscape a state of the soul" 2/.

Both Robert Penn Warren and George Herbert Clarke have written articles which deal with the sun and moon imagery in *The Rime of the Ancient Mariner*. Mr. Warren suggests that the sun is the symbol of reason or understanding, the mere reflective faculty. The moon, on the other hand, which Warren associates with the Albatross, is the symbol of creativity, imagination, and as such a beneficent object. He proceeds to explain that the loss of the creative faculty and the eventual regaining of it is the secondary theme of the poem 3/. I agree with Mr Warren's proposal of the imaginative faculty being a possible secondary theme; however, he does not satisfactorily explain the situations in which the sun appears in a friendly nature and those in which the moon is present during the Mariner's agonizing experience.

George Herbert Clarke suggests another possible meaning of the sun and moon, but he too runs into the problem of trying to explain the dual characters of the sun and moon. Mr. Clarke suggests that the sun is the symbol of the punitive side of God, stern, masculine and just 4/. While this idea is partially justified, it is oversimplified. It is after all the Mariner–narrator who sees the sun as a punitive force after his crime, and the sun can also be "bright" and benevolent, depending upon the Mariner's state of mind. Nor, as Clarke suggests, is the moon always a gentle and forgiving force.

The ambivalent view of the sun and moon can, however, be explained by the fact that it is the narrator who interprets their nature. It must be remembered that the tale is told by the Mariner, not the poet. As his attitude or psychological state changes, so do the objects of nature, particulary the sun and moon. And this psychological approach, I believe, resolves the problem of the consistency of the light–images that Clarke and Warren fail to adequately account for.

The first object which the Mariner mentions after leaving the kirk (Christian guidance), the hill (familiar nature) and the *light*house (man's guidance for his fellow man) is the sun. The sun is described as a masculine personification and is endowed with god–like powers by the Mariner; while the moon, appearing later, is of a female nature. Because the Mariner and his fellow shipmates embark upon this new adventure in a merry mood, the sun "shone bright" (42). And the emphasis on the rising and setting of the sun places the Mariner in an ordered, familiar and consequently comfortable universe. Coleridge, of course, is also accurate in his literal description of the sun in order to indicate the direction of the ship and geographical points which are important to the tale. "The Sun came up upon the left,/Out of the sea came he! /And he shone bright, and on the right/Went down into the sea," (42) indicates a southern direction; and "Higher and

higher every day,/Till over the mast at noon", informs us of the crossing of the equator. Later the direction of the ship will change with a change in the Mariner's character, and the equator will be the scene of his hell.

In direct contrast to the cheerful scene at the beginning is the scene after the Mariner crosses the equator into unfamiliar surroundings; here the tone changes sharply. In contrast to his previous gaiety, he is now filled with the dual feelings of awe and terror. The sun is no longer in its rightful position, and all the light in this scense is indirect, reflected sheens and mists. "And now there came both mist and snow,... And through the drifts the snowy clifts/Did send a dismal sheen" (43). Yet, at the same time there is an attractiveness about this isolated, unfamiliar region as demostrated by the beauty of the "ice masthigh, came floating by,/As green as emerald" (43). For the Mariner both the beauty and the terror of this region are produced by its complete isolation from man, nature and even God. This is carefully emphasized by the use of repetition and anastrophe: "Nor shapes of men nor beasts we knew––/The ice was all between. The ice was here, the ice was there,/The ice was all around" (43). This scene will later be echoed when the Mariner finds himself "Alone,alone,all,all,alone,/Alone on a wide wide sea! "(49). The Mariner has started his process of isolation which will culminate in the complete rejection of man, God and nature, as symbolized by the Albatross.

The relief from this separateness is provided by the Albatross which comes through the fog to the sailors and is greeted with great rejoicing by them. So glad are they to see this living creature that "as if it had been a Christian soul,/We hailed it in God's name" (44). Coleridge clearly indicates the bird is more than a friendly representative of nature, but is to be taken as a living being with a human–like soul. The sacredness of its life is emphasized by the fact that it "perched for vespers nine" (44) and forms a brotherhood with the crew as "It ate the food it ne'er had eat" (44). Particularly, it is the Mariner with whom it forms a bond. With this friendly representative of Christianity, nature and mankind to guide him, the Mariner notices the beauty and softness of nature. "Whiles all the night, through fog–smoke white/Glimmered the white Moon–shine" (44). With this first appearance of the moon, the Mariner's fear of the mist or cloud seems dispelled. The moon, like the Albatross, seems to the Mariner to break through the fog to guide and encourage. After this gentle picture of the moonlight comes the climactic last stanza of Part I, which includes the shooting of the Albatross. The Mariner, with no justified motive, in his pride completes his rejection of all the universe by killing a living creature; and so he turns inward, into a solipsistic state. And the line "Why look'st thou so? " (44) reminds us of the "glittering", "feverish" eye of the Mariner which is a result of his experience.

With the announcement of the crime "With my cross–bow/I shot the ALBATROSS", (44) comes a direct and dramatic turn in the poem. "The Sun now rose upon the right:/ Out of the sea came he" (44). Inmediately, the soft flow of the moon is dispelled and the sun appears as the light source. The literal description of the sun indicates a turn in the ship's direction––northward––and thus symbolizes a turn in the Mariner's spiritual state. This is structurally reinforced by lines 87–90 which echo the previous lines 71–74, but this time "*no* sweet bird did follow"(45). The "sweet" guide is no longer there to lead the Mariner back to his familiar surroundings. Once the crime has been committed, the Mariner cannot achieve again his state of spiritual innocence or psychological peace. As yet, however, the Mariner feels no remorse for his action, and the elements of nature are not *immediately* threatening.

The only indication of the wrongness of the act is the outcry of his fellow shipmates who choose to identify the bird with the needed breeze. Only after "Nor dim nor red, like God's own head,/ The glorious Sun uprist" (45) do they pragmatically side with the Mariner. To them the sun's rising seems a good omen as indicated by the word "glorious". The word "red" here has significance as it emphasizes the brightness of the

sun. Later we will see the shade of red change in direct relationship to the Mariner's feelings. The Mariner's shipmates make themselves accomplices to the crime by justifying the killing in terms of their own good. They, too, have committed the sin of pride, the rejection of all but their own desires; and the sun image here reinforces this concept of pride. As Robert Penn Warren suggests, here the sun "is the light of practical convenience, it is the light in which pride preens itself"; 5/ it is the sun which lights the Mariner's way to the "silent sea", the solipsistic world. It is now that the agonizing experience is to begin for the Mariner. Isolation, then, is not so much the result of sin, but rather the state of sin. It is after the Mariner's prideful action of rejection that he must learn the anguish of this chosen alienation. In his solipsistic world he will find spiritual and psychological remorse.

In lines 103–105 the mood of the sailor's joy is emphasized by the freedom of movement: "The furrow followed free;/We were the first that ever burst/Into that silent sea" (45). Their first reaction to the freedom from obligation is one of happiness. This mood, however, is quickly changed to one of complete stillness––lack of both motion and noise; the horror of aloneness has started. And as the Mariner's depression starts, the sun now appears to him in the role of an avenging force, and the word "bloody" replaces the word "red" as the color of the sun. "Bloody" is certainly an indication that the Mariner has started to reflect upon his bloody killing of the Albatross. "All in a hot and copper sky,/The bloody Sun, at noon,/Right up above the mast did stand,/No bigger than the Moon" (45). The Mariner is at the equator; and the hell of the unreal, the unfamiliar world which the Mariner is building for himself is reinforced by the image of the ship "As idle as a *painted* ship/Upon a *painted* ocean" (45). The isolation which the Mariner asks for in his wanton rejection of a simple social union will prove to be its own punishment; and the Mariner's feeling of isolation and its accompanying dejection is shown by his description of "Water, water, every where,/And all the boards did shrink;/Water, water, every where,/Nor any drop to drink" (45–46). The boards of the ship instead of being swelled by water, contract; and the unfamiliar world of the Mariner is completely opposite to the real one.

In his despair, the Mariner sees all the creatures of the sea as disgusting and "slimy". And while the description of the sea at this time could be a literal one, the emphasis on its fire–like colors presents a paradox––water now seems to be fire. Certainly this description reminds us of Dante's hell: in this case, the hell which the Mariner is going through is a psychological one. He sees "The death–fires danced at night;/The water, like a witch's oils,/ Burnt green, and blue and white" (46).

In this hell the men are unable to communicate with their voices, and so we have a return to the eye–imagery. Their eyes with "evil looks' cast their accusations at the Ancient Mariner. Unable to speak or move, only stare, the tone of sapped energy is conveyed by their glazed and weary eyes: "There passed a weary time, Each throat/Was parched, and glazed each eye./A weary time! a weary time! /How glazed each weary eye" (46). We cannot help but remember the previous reference to the "glittering" and "bright" eyes of the Mariner. Here the sailors lack any spiritual insight, and their eyes reflect this lack of inner light. Later, the Mariner has acquired spiritual knowledge through his experience, and his eye "glitters" with this knowledge. The glittering eye then indicates not only the achievement of a new innocence or goodness, but also the retention of the knowledge of the terrible potential of mankind.

This "weary eye" imagery is placed in a repetitive pattern which slows down the rhythm and thus reinforces the idea of the Mariner's lethargy. The rhythm speeds up startlingly in lines 149–159 as the Mariner sights a shape in the distance. In his state of hopelessness and depression, a sudden hope brings almost overwhelming joy. But as the nature of the craft is distinguished, horror replaces his lethargy; and the sun becomes prominent again. By this time the sun is sinking in the west, and night is coming. The

literal description is of the sea "a–flame" from the sun's light which prepares a hell–like environment for the spectre ship. The line "rested the broad bright Sun" (47) is followed dramatically with "When that strange shape drove suddenly/Betwixt us and the Sun" (47). In the next three stanzas this picture is mentioned three times: "And straight the Sun was flecked with bars,... Are those her sails that glance in the Sun,... Are those her ribs through which the Sun/Did peer, as through a grate? " (47–48). The death ship, which carries the personification of Life–in–Death who claims the Mariner, represents the Mariner's unreal, distorted universe which has arisen out of his solipsistic, self–centered view; and it symbolizes to him his spiritually dead soul. Up to this point many objects, such as the Albatross, sun, moon, have mystical qualities but all of them are also part of the real world. The ship, however, is couched entirely in terms of spectres, ghosts, which provides the clue to its existing only in the unreal world of the Mariner. This world has now become a prison for him; his guilt interposes itself like bars between him and nature: "And straight the Sun was flecked with bars" (48).

As the bark leaves with the Mariner's fate sealed, "the Sun's rim dips; the stars rush out;/At one stride comes the dark... We listened and looked sideways up! " (48). The Mariner's spiritual world is chaotic; and psychologically he projects this into the physical universe as the sun dips, stars rush and night presses in on him. In this dark night of the soul, we are given the brilliant image of the steersman's gleaming white face. This recalls the appearance of the spectral Life–in–Death who is described just previously as being "white as leprosy" (48). This association serves to show that the Mariner's own ship, his own sinful soul, as he now conceives it, is in the hands of a diseased and corrupt steersman because the Mariner himself committed an evil act. The psychological projection of his present spiritual state is superimposed by him on the real world, serving to give to this real world characteristics identical with his own corrupt spiritual world.

When the moon appears, it is waning. The Mariner connects this waning moon to his ship–mates and it seems to represent their waning lives. It is in the moonlight that the two hundred men die as they curse the Mariner with their eyes. Here the moon is not a gentle figure but the light present at men's deaths. And the moon continues to shine while the Mariner receives their curse, which pulls us back to the "glittering", "feverish" eye of the Mariner. To make sure that we remember this last relationship, the Wedding–Guest breaks in and mentions his fear of the Mariner's "glittering eye". Here we see that the moon is not a sympathetic figure as suggested by Warren and Clarke, but that Coleridge changes its nature to fit the outlook of the Mariner.

The Mariner is now fully cognisant of this physical and social abandonment. "Alone, alone, all, all alone, /Alone on a wide wide sea! / And never a saint took pity on/My soul in agony". (49) All that is left, centrally, is oneself; and this now proves disgusting to him as we see when he mentally connects himself with the "slimy" creatures of the deep. "The many men, so beautiful! / And they all dead did lie:/ And a thousand thousand slimy things/Lived on; and so did I". (49) The Mariner looks to the rotting sea (nature), the dead men (humanity) and heaven (God), but none of the three can give him consolation. Not only his disgust, but his guilt feelings make him unable to call on help: "A wicked whisper came, and made/My heart as dry as dust". (50) His state of depression is now at its lowest point, but he cannot yet receive relief for he is still committing the sin of pride, for in his self–pity he wishes to die: "And yet I could not die" (50). Even the dead men seem to be in a better state than he. At this lowest ebb, we again get the eye–imagery. The weariness of this situation, emphasized by the repetition of the words

sky and sea, sea and sky, conveys the feeling that both sea and sky, the entire world, are a weight upon his weary eyes. In addition to this is the weight of the curse in the eyes of the dead men which he must bear for seven days. The *seven* days of pain seem to be the final stage of the Mariner's depression and self–pity and, as such, the beginning of the creation of a new world or life for him. He can sink no lower, and so in his deepest state of depression, in his spiritual death, is paradoxically the beginning of a more hopeful state of mind and a spiritual rebirth.

After this the scene of nature changes immediately. The Mariner watches the moon moving in the sky––moving as he cannot–– and he thinks of her as softly ascending, going upwards. But most important he notices that the moon is accompanied by two stars and is not alone as the Mariner is. The Mariner yearns after the moon and stars because he sees them as a sign of the social unity which he now wishes for. The moon floods the sea with its gentle light, and only the shadow of the ship remains "still and awful red"(50–51).

As he watches the moonlight on the water, he notices the sea creatures who are bathed in the "shining white/And when they reared, the elfish light/Fell off in hoary flakes" (51). And within the shadow of the ship they are "Blue, glossy green, and velvet black,/They coiled and swam; and every track/Was a flash of golden fire./O happy living things! no tongue/Their beauty might declare:/A spring of love gushed from my heart,/And I blessed them unaware" (51). As the Mariner's mind turns from himself, the water snakes seem transfigured from "slimy things" to beautiful things. And one of the reasons they are beautiful is simply that they are living; the Mariner no longer wishes for death but life. The diction changes sharply here, and we have a sensuous quality in the description of the animals––glossy green, velvet black, golden fire. This, then, is the second dramatic climax of the poem; and it is the second major change in the spiritual life and in the psychological state of the Mariner. At the same time that the Mariner acknowledges the importance of the water creatures, he also denies his solipsistic, alienated, pride–centered world. Because he now loves all living creatures, all of nature appears beautiful to him. As the Mariner turns outside himself, as hope begins to be born, as his depression starts to lift, simultaneously his guilt leaves him and he is able to pray.

Relief comes in the form of sleep; and when the Mariner awakes, there is great movement in contrast to the Mariner's previous motionlessness. As his spiritual life changes direction, entering the third stage, the objects of nature seem to conspire to help him. A roaring wind shakes the sails, "The upper air burst into life! /And a hundred fire–flags sheen,/To and fro they were hurried about! /And to and fro, and in and out,/The wan stars danced between" (52). The moon is on its side, and this time is accompanied by moving light–"the lightning fell with never a jag" (52). There is a definite psychological need for expiation, and this storm indicates the penance which the Mariner must now begin. It is beneath this wild light of moon and lightning that the dead men become invested by blessed spirits who help the Mariner toward his familiar harbor. The Mariner observes this transfiguration of the men just as he did that of the water snakes. When the day dawns, these spirits raise their voices in sweet sounds which the Mariner sees as traveling to the sun and then returning. The connection of the sun with the sweet sounds of the spirits indicates once again that the sun cannot be taken as a constant punitive force. Rather, here, it seems merciful, returning the sweetness to the Mariner.

The ship sails on smoothly with all the elements in accord, but one last punishment is required before the Mariner can completely cross the line to the third stage of regained innocence. The sun, for a moment, fixes the ship to the ocean; and so once more one of the light sources is connected with punishment. When the ship breaks through the boundary, the Mariner faints. During this swoon, the Mariner hears the voices of two spirits who recount, explain and foretell the experiences of the Mariner. These voices

seem to represent the Mariner's ambivalent feeling toward himself. The first voice, in an accusing tone, retells the crime. But the second, in a gentle voice, tells of the penance the Mariner has done and will do; this voice also explains the supernatural motion of the ship which is symbolic of the movement toward spiritual rebirth. Particularly, this voice paints the picture of the moon and sea acting in gracious union to bring the Mariner home. "If [the sea] may know which way to go;/For [the moon] guides him smooth or grim/. See, brother, see! how graciously/She looketh down on him" (55).

When the Mariner awakes, the stony eyes of the dead men glitter in the moonlight. As Mr. Warren suggests, this scene recalls two previous ones 6/. First, it recalls the earlier scene in which the moonlight illuminates the curse in the dead men's eyes and reminds us that even the moon can seem stern, depending upon the Mariner's state of mind. Secondly, it recalls the scene of the water snakes as the moonlight reveals their beauty; here, the moon seems a gentle force. Consequently, the dual character of the moon——punitive and forgiving, stern and gentle—is drawn together in one scene. First the curse is illuminated by the moon, then the moonlight seems to snap the curse, freeing the Mariner.

Soon afterwards, the Mariner spies the *light*house, the kirk and the hill: all three aspects of his familiar world, man, God and nature, seem to welcome him. In his joy, the Mariner perceives the entire bay as bathed in the soft moonlight, including the hill, kirk and lighthouse. "The harbour–bay was clear as glass,/So smoothly it was strewn! /And on the bay the moonlight lay,/And the shadow of the Moon. The rock shone bright, the kirk no less,/ That stands above the rock:/The moonlight steeped in silentness/The steady weathercock" (57). The Mariner then sees from the bay, white with moonlight, crimson shadows rising. The Mariner now sees the color red, previously described as "bloody", "awful", as a beautiful "crimson". And as his eyes turn to the deck, he sees the seraphs, freed from their bodies, standing as brilliant lights. These lights guide the Hermit and the pilot to the Mariner. In this scene the lights of God, the angels, and the lights of nature, the moonlight, join together in their kindness to the Mariner. Spiritually, he is ready to rejoin the world, and to him the world seems to welcome him. The Hermit, like the Albatross, comes to guide the Mariner and also represents the church, nature and mankind for he is a holy man, he lives in the woods and "loves to talk to marineres" (50). Symbolically, the Mariner asks forgiveness from all three in the figure of the Hermit, for he has sinned against all three; and he receives forgiveness, though he must do penance. The Mariner has learned the value of love and has found a unity with his world.

As it began, the poem concludes with eye–imagery. At the very end we are reminded of "the Mariner, whose eye is bright" (61). While much eye–imagery appears throughout the poem, this particular image appears the most consistently and serves as a unifying device in two ways. First, the "glittering" eye of the Mariner reemphasizes the fact that he is in the third state of his spiritual development; that he has experienced the isolation and gained the resulting knowledge of the need for love and unity with the universe. It also emphasizes the psychological state of the Mariner's mind; that he carries the burden of this knowledge and that the need to constantly confess his crime remains with him.

Secondly, the eye–imagery is concerned with the eye as a sensory organ. As such, it reminds us of what the Mariner has seen, and most important, the way in which the Mariner has perceived his universe. It is directly connected, then, to the light–images and the use that Coleridge has made of them, especially the pictures of the sun and moon. When the Mariner, through pride, builds himself a solipsistic world, the resulting depression and disgust are mirrored in the landscape. When the Mariner, through love, reunifies and identifies himself with the rest of the universe, his joy and relief are projected into his natural environment. If we remember that the description of the universe is a description as the Mariner perceives it, then the apparent conflict of the changing characteristics of nature——particulary the sun and moon——resolves itself.

FOOTNOTES

1) Samuel Taylor Coleridge, "The Rime of the Ancient Mariner", *Coleridge*, ed. Richard Wilbur (New York, 1959), p. 42. In this paper all quotations followed by a page number will be from this text.

2) Irving Babbitt, "A Sham Moral", *The Rime of the Ancient Mariner, a Handbook* (San Francisco, 1961), p. 70.

3) Robert Penn Warren, "Primary and Secondary Themes", *The Rime of the Ancient Mariner, a Handbook* (San Francisco, 1961), pp. 116–122.

4) George Herbert Clarke, "The Sun and Moon", *The Rime of the Ancient Mariner, a Handbook* (San Francisco, 1961), p. 95.

5) Penn Warren, p. 119.

6) Penn Warren, pp. 124–125.

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JONATHAN SWIFT AND THE PSYCHOANALYSTS

Dra. Faith Wotton Cartwight

Since the eighteenth century few literary figures have received closer or more continuous attention from the critics than Jonathan Swift. Although he is universally acknowledged as a master of satire, Swift's work is frequently viewed with disapprobation. For instance, the Earl of Orrery, Swift's first biographer, in discussing *Gulliver's Travels*, Part IV, states that "the representation which [Swift] has given us of human nature, must terrify, and even debase the mind of the reader who views it". Orrery adds that Swift's misanthrophy is intolerable and that Swift by inventing the Yahoos became one himself (1). Although Swift certainly has his defenders in the Augustan Age (2), this tone of disapprobation is strong enough to carry into the nineteenth and twentieth centuries.

However, when the nineteenth century critics view Swift, their focus shifts from the moral nature of the work to the psychic nature of the author. One faction, at least, harshly labels Swift insane; the bases of this decision are the misanthrophy and the scatological images in some of Swift's writings. Such men as James Russel Lowell, Edmund Gosse, W.E.H. Leaky, William Makepeace Thackeray and Thomas Macaulay (3) generally agree with Sir Walter Scott who says the misanthrophy of Gulliver is a result of Swift's "incipient mental disease" (4).

The twentieth century has generally rejected the view that Swift was insane (5), but one group has substituted another name. The psychoanalyst, basing his convictions on the excremental imagery in Swift's work (in what seems to be an extention of the nineteenth century view of insanity) (6), labels Swift "neurotic" and his "overconcern" with scatology "coprophilia". Sandor Ferenczi is the first to apply Freudian psychology to Swift in 1926 in a paper entitled "Gulliver Phantasies". Ferenczi contends that *Gulliver's Travels* is Swift's neurotic phantasy; for instance, the Lilliputian army's marching through Gulliver's legs is "the reassurance–phantasy or dream of an impotent man", and Gulliver's extinguishing the palace fire is a phantasy of sexual intercourse. This psychoanalyst then describes Swift's relationships to women as "neurotic sexual behavior

as an inhibition of normal potency", giving as cause Swift's fatherless boyhood. He therefore concludes

> this insight into Swift's life surely justifies
> us... in treating the phantasies in *Gulliver's Travels*
> exactly as we do the free associations of neurotic
> patients in analysis, especially when interpreting
> their dreams (7).

From this time on, a host of similar articles follows (8).

These psychological case studies might be brushed aside as absurd except for their frequent recurrence and their effectiveness in perpetuating the theories of Swift's neuroses (9). For example, Aldous Huxley and John Middleton Murry, althought not professional psychoanalysts, join the Freudian trend. Huxley, in his book *Do What You Will*, says,

> Swift's greatness lies in the intensity, the
> almost insane violence, of that "hadred of
> bowels" which is the essence of his misanthropy
> and which underlies the whole of his work (10).

In this paper I intend first to prove that these psychoanalytical critics, who conclude that Swift's use of scatology is evidence of neuroses or insanity, base their argument on faulty techniques and the following false premises: (1) that a conscious work of art can be treated and analyzed like an unconscious dream and (2) that Swift and his characters are the same. Second, I will propose an explanation for the scatological images in Swift's writing. The works of Swift which I will deal with primarily are *Gulliver's Travel*, Part IV, and three poems, "The Lady's Dressing Room", "Strephon and Chloe", and "A Beautiful Young Nymph Going to Bed", as these receive the most attention from the psychoanalysts.

In dealing with the first problem, I would agree that biography and literary criticism can complement each other. However, in Swift's case this combination is often misused. First of all, some of the critics are clearly begging the question. The reasoning of the twentieth century writers who hold with the theory of Swift's neuroses usually takes this course: first, they cite the scatology in Swift's writing as proof of his neurotic life; then they cite events in his life as proof of the neuroses exhibited in his scatological writings. As one example of this circular reasoning see the previously mentioned passages from Ferenczi who works from Gulliver's neuroses, to Swift's, and back again.

Another fallacy frequently present in these arguments is the half truth. These psychoanalysts, when approaching from the biographical side, list events, quotations and most damming of all-- the declaration of Swift as *non compos mentis*. These events and quotations used as proof of Swift's neuroses, consistently are taken out of context or are taken without due consideration to Swift's entire personality. One quotation which many critics cannot resist reprinting without explanation is Swift's farewell to his friends in his later years: "Good night, I hope I shall never see you again". This is offered as proof of Swift's misanthrophy as found in *Gulliver's Travels* (11). The fact that Swift frequently used such ironic banter with close friends is not mentioned.

As for the declaration of Swift as *non compos mentis*, Walter Brain's medical diagnosis refutes the critics who use this as proof that Swift's works are the products of a neurotic mind (see footnote 5). These psychoanalysts assume that because a deaf, half–blind, old man was declared mentally incompetent in his seventies, that he must have been mentally incompetent much earlier. Some point out Swift's complaints of sickness in middle age, suggesting this is the beginning of his neurosis. We know, indeed, that Swift did suffer from dizziness and nausea from age forty–two; and while it seems that Swift was not always careful to keep his pain to himself, it was a real physical pain. Consequently, the labels of hypochondria or neurosis or incipient madness hardly seem fair.

Dr. Greenacre is able to push the origin of Swift's neuroses back even farther by tracing Swift's fixation with excrement to his childhood. Dr. Greenacre, in discussing the nurse who kidnapped Swift when he was one year old, says that she was

> overly conscientious and harsh in her early
> toilet training, and left this stamp of the
> nursey morals of the chamber pot forever on
> his character (12).

Some critics prefer the theory that the first signs of Swift's "madness" are present in Part IV of *Gulliver's Travels*. They state as proof that while Parts I, II and III contain some scatology and little misanthrophy, Part IV shows a great quantity of both. They conclude that Swift's neuroses came to the surface between the writing of Part III and Part IV. The fact that Part IV was written before Part III does not seem to dissuade them from their theory.

Another problem of the half truth comes in to play with critics in general and psychoanalysts in particular who are not familiar with the entire body of Swift's writing; they draw their conclusions from a few works even a single work. For example, Huxley, after citing "The Lady's Dressing Room", "Cassius and Peter" and "A Beautiful Young Nymph Going to Bed" as examples, concludes that Swift hated the fact that women had biological functions (13). This Swiftophobe also remarks that Swift's "'hatred of bowels'...underlies the *whole* of his works" (14). The same is generally true of the professional Freudians. Dr. Karpman, for instance, after examining Gulliver in Brobdingnag and Gulliver's repulsion of the female Yahoo in Houyhnhnmland, decides that Swift was impotent (15). Harpman passes over the passages in Parts I, II and III where Gulliver speaks of his good and devoted wife (although, of course, at the end of the fourth voyage he does reject her physically), and Huxley does not bother to mention Swift's poems "The First of April", "Stella's Birthday" or "On Stella's Birthday" which display sincere affection and admiration for individual women. We might also have some difficulty in finding the "hatred of bowels" underlying the *Drapier's Letters* or the *Irish Tracts*.

Huxley, Murry and the psychoanalysts become so absorbed with picking out individual examples of coprophilia in a literary masterpiece that they completely ignore the rest of the work. Dr. Norman Brown, a Freudian himself, refutes these Freudians by suggesting that they seem to be afflicted with the neurotic trait which they accuse Swift of--an overconcern with excrement. Rather, Brown proposes that Swift's writings reveal Swift's "insight into the universal neurosis of mankind" (16). Brown's approach is certainly an improvement over the previous group because he flatly states that "turning loose" psychoanalysis on literary works in order to judge the sanity of the author is not within the province or the ability of the psychoanalyst.

Not only does Brown, like Landa and Voight, point out the flaws in the psychoanalyst's techniques, but--it seems to me--he strikes at the two false premises upon which their conclusions are based. First Brown does not make the same mistake the others have done--to assume that Swift and his characters are the same. The major contribution of twentieth century Swift criticism is the realization of the separation of Swift from his characters. As Ricardo Quintana says,

> It is perfectly apparent...that in every one
> of Swift's more notable prose satires we have
> a fictional character or group of characters:
> Lemuel Gulliver; Isaac Bickerstaff; M.B. Drapier;
> the humanitarian projector who writes *A Modest*
> *Proposal*; the three brothers in the *Tale of a Tub*.
> What we refuse to see is that Swift himself is
> *not* present...(17).

Swift is not the bitter Gulliver or the starry–eyed Strephon. As for the second premise, Brown attacks the equation of a conscious work of art with an unconscious dream, allowing Swift the mastery of his writer's craft. Landa sums the argument up, saying,

> It has been an overly simple process of
> equating biographical fact and artistic
> statement, of viewing the work as a transcription
> of the author's [Swift's] experiences
> or as a precise and complete representation of
> his personal philosophy or as a final explanation
> of his personality (18).

What then is Swift's conscious, artistic purpose for using scatological images in his writing, especially in *Gulliver's Travels*, Part IV and the poems "The Lady's Dressing Room", "Strephon and Chloe" and "A Beautiful Young Nymph Going to Bed"?

One of Swift's aims in his writing is to dispel illusions and romanticizing about mankind. His demand for moral realism, the truth regarding human nature, is notable in the three poems mentioned above. Quintana proposes that Swift's first poem in this tradition is "Verses Wrote in a Lady's Ivory Table–Book" and that the view expressed in these poems is comparable to that in the Restoration comedy of manners.

> The explorer in the dressing–room is a
> dramatization of the inside–outside contrast,
> and the nature of his discoveries accords
> perfectly with a comedy that characteristically
> works through images of nakedness and
> the functions of the human body (19).

Swift's satire in the poem "The Lady's Dressing Room" is conducted against two characters. Celia, who is all "Lace, Brocades and Tissues" (20), is the representative court lady concerned with little more then her appearance and collecting beaux. Furthermore, Celia (like Corinna in "A Beautiful Young Nymph Going to Bed"), it would seem, is excessively unclean beneath her "Ointments, Daubs, and Paints and Creams" (p.530, 1, 138). For example, Strephon finds "greasy Coifs and Pinners reeking,/ which Celia slept at least a Week in"(p.527, 11. 53–54). A passage in a letter Swift sent to Deborah Staunton Rochfort, entitled "Letter to a Young Lady, On Her Marriage", echoes passages concerning cleanliness in "The Lady's Dressing Table" and "A Beautiful Young Nymphh Going to Bed", *Gulliver's Travels* and Restoration comedies. Swift cautions that fineness and cleanliness go together and gives as an example a comment made by a friend about a woman of guality: "that nothing could make her supportable but cutting off her Head; for his Ears were offended by her Tongue, and his Nose by her Hair and Teeth" (21).

But the main satire in "The Lady's Dressing Room" is leveled at Strephon, the starry–eyed beau who cannot accept Celia as a human being with biological functions. In all three poems the heroines are first described as the goddesses or nymphs which Strephon and the other beaux take them to be.

> Of Chloe all the Town has rung;
> By ev'ry size of Poets sung:
> So beautiful a Nymph appears
> But once in Twenty Thousand Years.
> By Nature form'd with nicest Care,
> And, faultless to a single Hair.
> Her graceful Mein, her Shape, and Face,
> Confest her of no mortal Race...(p.584, 11. 1-8).

But Chloe's and Celia's (and Corinna's) true natures are quickly exposed, and

Strephon finds they are all too human. The most heinous crime of Celia is discovered when Strephon finds her chamber pot, and the same is the one mar in Chloe's "perfection". Although Chloe is not exposed as uncleanly like Celia or Corinna, she too must perform bodily functions. And the Strephon of this poem has made the same mistake of romanticizing his love as the Strephon of "The Lady's Dressing Room" did. The poet's laugh at Strephon's disgust at the end of "The Lady's Dressing Room" may be too indirect a statement of the poem's meaning for the Freudians to grasp, but in "Strephon and Chloe" Swift carefully specifies the "moral" of these verses: surface beauty is deceptive and secondary to the qualities of decency and reason.

On sense and Wit your Passion found,
By Decency cemented round;
Let Prudence with Good Nature strive,
To keep Esteem and Love alive.
Then come old Age whene'er it will,
Your Friendship shall continue still:
And thus a mutual gentle Fire,
Shall never but with Life expire (p.593, 11. 307–314).

These lines sound like the text from a traditional sermon of an Anglical divine rather than the ravings of a neurotic woman–hater. A parallel passage in the "Letter to a Young Lady, On Her Marriage" shows that this is an important and constant theme with Swift. Swift warns against all romantic notions of marriage, saying it is far better to win the friendship and esteem of her husband (22). This is not anti–feminist but rather anti–romantic (23).

But once we have found and accepted this theme, there is still the question of the use of scatological images to portray it. Swift's satiric use of excremental and dirt images is sensationalism, sensationalism devised to bring us back to common sense. It is not the unconscious sign of a psychological neurosis but an artistic device, couched in negative terms perhaps, but nevertheless proposing a positive idea which is to expose the false and clarify the truth. And, as Quintana says (in discussing the poem "Description of a City Shower"), the realism typical of the eighteenth century "was so often defiance of all the polite traditions" (24). The same anti–romantic theme and the same imagery device found in Swift's poetry is also found in *Gulliver's Travels.*

Gulliver's Travels is the work of Swift which the Freudian critics and psychoanalysts turn to most frequently to prove their hypotheses. The scatology and related dirt images which appear in this book, most profusely in Part IV, are the main bases for labeling Swift misanthropic or neurotic. These readers take no notice that *Gulliver's Travels* was not shocking to most of its contemporary audience. If the letters of Pope, Arbuthnot and Gay are to be believed, the general opinion was that Gulliver was a merry fellow (25). And, indeed, Gulliver's extinguishing the palace fire or cowering from the female Yahoo are funny incidents. But Swift includes such incidents for more than amusement.

It is the inclusion of the Yahoos which seems to stir the most controversy. "How could Swift conceive of something so repulsive unless he had a disordered mind? " is the rhetorical question the psychoanalysts ask. Actually there is evidence that Swift adapted these figures for his purpose rather than conceived them. R. W. Frantz, in his article "Swift's Yahoos and the Voyagers", gives detailed evidence which indicates that the Yahoos were patterned after descriptions of savages and monkeys found in the travel books popular in the eighteenth century (26). This evidence might lessen the cries against Swift, but, of course, he is still responsible for including them in *Gulliver's Travels.* What, then, is his purpose for this inclusion, what do they symbolize?

What better image could Swift have chosen for his anti–romantic theme than the Yahoos of Part IV? The Yahoos are not "man" as some critics suggest for there are

differences between them and Gulliver, a fact pointed out by the author. Gulliver's Houyhnhnm master observes that Gulliver is *like* a Yahoo "only a little more civilized by some tincture of reason, which however was in a degree as far interior to the Houyhnhnm race as the Yahoos of their country were to me" (27). Rather, the Yahoos represent man's animal nature; they are reminders of our human limitations or demonstrations of what man would be without his reasoning faculties.

Furthermore, to use an outer ugliness to symbolize an inner ugliness is not an unusual literary device--read Shakespeare or Chaucer. Huxley misses the point when he says,

> And if the Yahoos were all [Swift's] personal
> enemies, that was chiefly because they
> smelled of sweat and excrement, because they
> had genital organs and dugs, groins and
> hairy armpits; their moral short–comings
> were of secondary importance (28).

The situation is the reverse. It is the Yahoos' appearance which is there to remind us that they lack reason, that they are like men who do not possess reasoning faculties to control their animal natures. Consequently, this half–man figure is more repulsive than a simple animal. Gulliver observes,

> By what I could discover, the yahoos
> appear to be the most unteachable of
> all animals, their capacities never
> reaching higher than to draw or carry
> burthens. Yet I am of opinion this defect
> ariseth chiefly from a perverse,
> restive disposition. For they are
> cunning, malicious, treacherous and revengeful (p.214).

This Yahoo–symbol fits perfectly into the larger purpose of the book; it is only one–half the picture.

The sensationalism of the excremental images connected with the Yahoos causes some readers to overlook the irony connected with the Houyhnhnms (29). As the Yahoos symbolize isolated bestiality, the Houyhnhnms symbolize isolated reason. Swift, the master satirist, carefully adapts his artistic devices to his subject. When he is dealing with the bestial Yahoos, Swift uses sensationalism (excremental and dirt images) and emphasizes their filth; when he is dealing with the reasonable Houyhnhnms, Swift uses irony and litotes and emphasizes their coldness. Swift, then, carefully selects these two contrasting devices and figures in order to set up dramatic antithesis. The Yahoos' flesh smells "very rank", they are "insolent, abject, and cruel" and their favorite means of protection is "voiding their excrements on their opponents" (pp.214–215). A description of the Houyhnhnms closely follows this passage and not all their characteristics are admirable. It is pointed out that the Houyhnhnms "have no fondness for their colts or foals," they breed up a race of inferior Houyhnhnms to be domestics and their marriages are based on the color combinations which their offspring will inherit (pp.216–217). The Houyhnhnms' reasonableness sometimes even results in cruelty as witnessed in Gulliver's reaction to the Houyhnhnms assembly's decree that he must swim back to England. Swift's satire employs understatement when Gulliver humbly concludes that although he does not blame the assembly

> yet, in my weak and corrupt judgment,
> I though it might consist with reason
> to have been less rigorous. That I
> could not swim a league, and probably
> the nearest land to theirs might be

distant above an hundred...(p.226).

This, then, is the dramatic antithesis. In the middle stands Guilliver.

A careful reading will reveal to literary critics and psychoanalysts that Gulliver is not Swift. Gulliver does not learn the lesson from the contrast of the Yahoos and the Houyhnhnms; Gulliver, like the psychoanalyst, sees the Yahoos as "man". Gulliver, like Strephon, trades one illusion--optimism or romanticizing of human nature--for another--pessimism or misanthrophy. Gulliver has the qualities of both the Yahoo and the Houyhnhnm, and he is a ridiculous figure when he denies his physical nature completely. For it is part of man and reflects his inability to achieve the pure reason of the Houyhnhnm. In Part IV of *Gulliver's Travels* it is Gulliver's misanthrophy which is expressed, not Swift's; and to affirm this Swift sets up another dramatic antithesis: the "inhumane" Gulliver and the humane Portugese sea captain. With the kindly Don Pedro as an exemplum, there should be no trouble in discovering that it is Gulliver against whom Swift has turned his satire in the last of *Gulliver's Travels*. The psychoanalysts, it would seem, either have not discovered this or do not feel that it is important.

In summary then, the psychoanalysts have stepped out of their field, psychoanalysis, and into the field of literature without taking into account literary techniques and criticism. They have not allowed Swift the mastery of his satire; they have not realized the purpose of his satire and his use of sensationalism to strip away illusions. Brown and Ehrenpreis show that with care psychoanalysis may have a place in the study of Swift. But as Ehrenpreis points out, "there is nopoint in labeling [Swift] as this or that type of neurotic unless one can use the classification to understand his achievement. If the labeling conceals his achievement, it has been worse than useless" (30).

Also, I would certainly not deny that Swift expresses bitterness and cynicism in his personal remarks and literary works; but we must look at these expressions with care and not confuse them with the expressions of his fictional characters. Brown, Landa, Sherburn, Voight and Ehrenpreis would agree with Quintana's succint summary of this problem:

> one may concede a great deal [about Swift's eccentricities] and still insist upon a view which rests, biographically, upon the known facts, and critically upon the conviction that literature is better discussed in terms of its own artistic being than of what we may choose to believe to have been the author's subjective experience (31).

FOOTNOTES

(1) Earl of Orrery, *Remarks on the Life and Writings of Dr. Jonathan Swift* (London, 1752), pp.184–190.

(2) Louis A. Landa, "Biographical Evidence", *Studies in the Literature of the Augustan Age*, ed. Richard C. Boys (Michigan, 1952), p. 181 cites such men as Patrick Delany who refutes Orrery.However, Landa goes on to say that many critics denounced the "moral aspects of the Voyage to Houyhnhnmland and the degraded nature of the author". Landa notes that these first critics are interested in the personality of the man who could write such "immorality" and frequently decide that because a work contains "immorality" it must be artistically unsound.

(3) James Russell Lowell, "Swift", *The Function of the Poet and Other Essays* (Boston, 1920), p. 188 says that Swift. like Gulliver, has a "diseased eye". Edmund Gosse, *History of Eighteenth Century Literature* (London, 1889), p. 161 explains Swift's writing as the product of a "brain not wholly under control". W.E.H. Leaky, "Biographical Introduction" to the *Prose Works of Jonathan Swift*, ed. Temple Scott (London 1897), I, xxxviii attributes Swift's misanthropy to a "physical malady which had long acted upon his brain". While other critics, such as Macaulay and Thackeray, do not state that Swift was mad, they do describe him in terms of either madness or complete moral decay. William Makepeace Thackeray, "Swift", *English Humourists of the Eighteenth Century* (London, 1947), pp.35–37 condemns *Gulliver's Travels* Part IV as "filthy in word, filthy in thought, furious, raging, obscene". Thomas Babington Macaulay, *The Works of Thomas Babington Macaulay* (London, 1908), VIII, 307 is equally kind, saying that Swift's mind is furnished with "images from the dunghill". Milton Voight, *Swift and the Twentieth Century* (Detroit, 1964), pp. 6-9 gives a most complete account of this theory as does Landa, pp. 182–183. In fact, Voight's thought and critical bibliography guided me to many of my quoted sources. Landa seems to feel that it is unnecessary to footnote his quotes and so we have, for the most part, no real idea of whom he is refuting.

(4) Sir Walter Scott, ed., *The Works of Jonathan Swift* (Edinburgh, 1814), II, 10.

(5) Sir Walter Russell Brain, "Jonathan Swift: L'Enfant Terrible", *Some Reflections on Genius and Other Essays* (Philadelphia, 1960), pp.22–33 says that Swift showed no signs of mental incompetence until in his seventies and considering that he suffered from deafness, blindness and arteriosclerosis it is not surprising that he was declared *non compos mentis* at age seventy–four.

(6) Landa, p.184. Voight, p.155.

(7) Sandor Ferenczi, "Gulliver Phantasies", *International Journal of Psychoanalysis*, IX (July, 1928), 283–300.

(8) William Barrett, "Writers and Madness", *Partisan Review*. XIV (January–February, 1947), 7–8 says "The mechanism by which any work of art becomes authentic...can only be revealed by the searchlight of psychoanalytic exploration". Barrett's "searchlight" illuminates a Voyage to the Houyhnhnms by explaining on p.9 that "Swift wanted to be a horse, a beautiful and gentle animal–and probably nobler on the whole than most human beings. This is the madness already present in *Gulliver*". Katherine Rogers, "'My Female Friends': The Mysogyny of Jonathan Swift", *Texas Studies in Literature and Language*, I (Autumn, 1959), 379 after meticulously picking out every derogatory remark made by Swift about women and completely ignoring the satire and irony, concludes that the "evidence from Swift's works, together with his scrupulous avoidance of erotic relationships with women in his life...suggests a deep, unconscious revulsion against Woman as Animal". Rogers finds Swift's wish for female cleanliness particulary incriminating. Benjamin Karpman, "Neurotic Traits of Jonathan Swift, as Revealed by *Gulliver's Travels*", *Psychoanalytic Review*, XXIX (January, 1942), 30, 31 says that Swift in *Gulliver's Travels*, shows "many evidences of a neurotic personality" and a "decidedly immature mind". Continuing on p.31, Karpman tells us "Swift's neurosis belongs to that group of reactions which come under the heading of psychosexual infantilism and its particular aspect–coprophilia", the latter being associated with misogyny, misanthropy, mysophilia and mysophobia Phyllis Greenacre, *Swift and Carroll: A Psychoanalytic Study of Two Lives* (New York, 1955), p.102 can even find coprophilia in the sounds of proper names which "suggest an onomatopoeic derivation from the sound of drippings and droppings, possibly originating in the overly intense preoccupation with toilet functions, which seemed for

the child Jonathan to engulf and then to color his important infantile philosophies". See also I.F. Grant Duff, "A Onesided Sketch of Jonathan Swift", *Psychoanalytic Quarterly,* VI (April, 1937), 238–259; Evelyn Hardy, *The Conjured Spirit* (London, 1949); John Raymond, "The Excremental Vision", *New Statesman*" (June, 1958), pp. 735–736; Katherine Brégy, "The Enigma of Dean Swift", *Catholic World,* CXII (October, 1920), 52–59, which antedates the Freudians but definitely anticipates them.

(9) Landa, p.184.

(10) Aldous Huxley, "Swift", *Do What You Will* (New York, 1928), p.105. For a similar, although less violent, approach to the subject see John Middleton Murry, "The Excremental Vision", *Jonathan Swift* (London, 1959), pp.432–448. Although Huxley and Murry are not psychoanalysts, they seem to use many of the Freudian techniques. Furthermore, the professional psychoanalysts pretend only to case studies, while Huxley and Murry use the techniques for literary criticism. For purposes of this paper I will group the literary and medical critics together. Irvin Ehrenpreis, *The Personality of Jonathan Swift* (London, 1958) uses a psychological approach to Swift with more restaint and thus considerable more success. However, even he cannot resist such statements as, on p.27, "Swift has achieved the quaint fantasy of a mother forty feet tall but young enough to be his daughter", while discussing a comparison of the giantess Glumdalclitch and Stella.

(11) Landa, p.185.

(12) Greenacre, p.102.

(13) Huxley, p. 99. Later on p. 100 he indignantly refuses to quote the entire line from "The Lady's Dressing Room": "'Oh, Celia, Celia, Celia...'" and the last word "rhymes with 'wits' and 'fits'", he says.

(14) Huxley, p.105. Italics mine.

(15) Karpman, p.36, 167–169.

(16) Norman O. Brown, "The Excremental Vision", *Life Against Death* (Middletown, Conn., 1959), p.185. On p.186 Brown gives as an example a comparison of Strephon and Murry who both lose their wits when they discover "that Celia...."

(17) Ricardo Quintana, "Situational Satire: A Commentary on the Method of Swift", *Studies in the Literature of the Augustan Age*, ed. Richard C. Boys (Michigan, 1952), p.259.

(18) Landa, p.187.

(19) Ricardo Quintana, *Swift: An Introduction* (London, 1955), p. 52.

(20) Jonathan Swift, *The Poems of Jonathan Swift*, ed. Sir Harold Williams (Oxford, 1958), II, 525, I. 4. All quotes from Swift's poems followed by a page number will be from this text.

(21) Quintana, p.140.

(22) Quintana, p.139.

(23) George Sherburn, "Methods in Books about Swift", *Studies in Philology*, XXXV (July, 1938), 640 backs up this opinion by calling Swift an "'anti–poetical' poet." He continues, "To Poesie involving illusion, fictitious glow, or imaginative persuasiveness Swift had after 1694 an invincible opposition".

(24) Quintana, p.116.

(25) Alexander Pope, *The Correspondence of Alexander Pope,* ed. George Sherburn (Oxford, 1956), II, 411 in a letter to the Earl of Oxford, Dr. Arbuthnot recounts, "There has been a vast dem [and] for Guliver [sic] the first impression was sold off in a moment every body has been mightily delighted with him...." On p.412 in a letter to Swift, Pope says, "I congratulate you first upon what you call your Couzen's wonderful Book, which is *publica trita manu* at present, and I prophecy will be in future the admiration of all men.... I find no considerable man very

angry at the book: some indeed think it rather too bold, and too general a Satire: but none that I hear of accuse it of particular reflections...." On p.413 in a letter to Swift, Gay describes *Gulliver's Travels* as the center of conversation since its publication. "The whole impression sold in a week;...all agree in liking it extreamly".

(26) R.W. Frantz, "Swift's Yahoos and the Voyagers", *Modern Philology*, XXIX (August, 1931), 49–57.

(27) Jonathan Swift, *Gulliver's Travels and Other Writings*, ed. Louis A. Landa (Boston, 1960), p.220. All quotes followed by page number are from this text.

(28) Huxley, p.99.

(29) Kathleen Williams, *Jonathan Swift and the Age of Compromise* (Lawrence, 1958), pp.194-195 says that the likeness between Gulliver and the Yahoos "being expressed in physical terms, it makes much more impression on us than does the likeness between Gulliver and the Houyhnhnms, which consists in his possession of a tincture of that reason which constitutes the whole of their nature. This of course is what Swift intends, since he wishes to convey the faintness of reason in us, and the strength of our passions."

(30) Ehrenpreis, p.29.

(31) Quintana, p.28.

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TWELFTH NIGHT, AN ELIZABETHAN COMMONWEALTH–IN–MINIATURE

Dra. Faith Wotton Cartwright

During the Renaissance the idea of cosmic order pervaded even the practical life of Elizabethan society. The medieval idea of a hierarchy where each man has his position in society with his particular responsibilities and privileges was a commonplace. A corollary to this idea was that a disturbance of this hierarchy produced chaos (1). At the apex of the Elizabethan commonwealth was, of course, the sovereign. The state of the commonwealth in general and the state of the royal court in particular were dependent upon the qualities of the royal ruler (2). To carry the idea one step further, each household could be viewed as a small commonwealth or royal court because each member was assigned a position in the hierarchy of authority. Here the master of the house was equivalent to the sovereign of the commonwealth. Furthermore, the household, like the commonwealth, was highly dependent upon this "sovereign" for its welfare.

In *Twelfth Night* Shakespeare presents to his audience such a situation. And it is not surprising that the household, the commonwealth–in–little, is governed by a woman, for the Renaissance Englishman was intensely aware that he was governed by a queen, not a king. An all–consuming interest for the Elizabethan Englishman was the future husband of his queen, and Elizabeth's court was filled with suitors or their ambassadors requesting her hand in marriage. These courtships were the concern of the common man as well as the courtier for the idea of courtship or marriage was closely linked to the idea of social order (3). There was ample contemporary evidence for the Elizabethan that a bad marriage for his queen would have a bad effect upon her commonwealth. This had proven to be true for Mary, Elizabeth's sister, and Mary, Queen of Scots, whose marriages resulted in disunity and chaos for their countries. Therefore, the plot of *Twelfth Night*, which revolves around an aristocratic woman, Olivia, in charge of a large household and pursued by many suitors, would have been of interest to both the courtiers and the middle class which made up Shakespeare's audience. And one way to view the Elizabethan play *Twelfth Night* is as a story of an Elizabethan commonwealth-in-miniature.

The purpose of this paper will be to place *Twelfth Night* in its Elizabethan setting. The first part of my paper will concern the Elizabethan social hierarchy and specifically Olivia's place in it. I will examine Olivia as she illustrates the characteristics of the Elizabethan aristocracy. In order to get a sharper understanding of her position as a

peeress, I will contrast Olivia, the countess, with the other woman in the household, Maria, her servant.

The second part of my paper will concern the disruption of the small commonwealth and more specifically, Olivia and Maria as disruptive forces. Here I will examine Olivia as a woman lacking personal control and I will show how this flaw is manifested in Olivia's suitors and her management of them. Again for a sharper view, I will use Maria and her management of her suitors as a comparison.

To completely understand Olivia we must examine her from two points of view--as a noblewoman and as an individual. First let us look at Olivia for what she is: a countess and the mistress of a large household. William Vaugham in his popular and comprehensive Elizabethan handbook *The Golden Grove* distinguishes the three types of gentry in his ranking of the commonwealth. The Prince or sovereign, of course, is foremost; but on the second highest plane are grouped Dukes, Earls (to which a countess would be the equivalent English female title), Barons and Knights of honor. As a member of the peerage Olivia (and Orsino, the Duke) has certain legal rights and privileges which none of the other characters in the play has (4). Shakespeare is careful to give us a distinct accounting of these privileges. When Olivia first appears on the stage, there is evidence that she is attended by a number of her household rather than just Malvolio, her steward, as it is frequently staged. Brian Nicholson gives the stage direction as such, pointing out that as a peeress in her own right Olivia would be attended by several of her women and armed retainers (5). It seems probable that Shakespeare would not miss this chance to follow the aristocratic custom. Furthermore, this would make Malvolio's position in attendance on Olivia less important and would emphasize the preposterousness of his later pretentions to her hand. The play itself seems to indicate this directly in the conversation between Olivia and her clown Feste which follows her entrance. The clown says, "Do you not heare *fellowes*, take away the Ladie"; and Olivia replies, "Sir, I bad *them* take away you" (6).

From this first appearance of Olivia, surrounded by her many retainers, the audience can see that Olivia and Orsino live in an aristocratic world of wealth. We know that Olivia is wealthy because of the large household she manages and because Orsino makes a special point of swearing that he is not interested in her money. However, along with this privilege of wealth goes the responsibility of being generous (7). Orsino and Viola give money to the clown, and Olivia readily offers to assume the cost of Orsino's marriage to Viola. Olivia, also, is willing to marry the penniless Sebastian without regard for his financial condition. So, in *Twelfth Night* the true aristocrats are not only born to the gentry, but possess that quality so lauded in the Renaissance handbooks, generosity.

An ability which gentlmen and gentlewomen should also possess and which the middle class frantically tried to imitate was that of making witty conversation. The concern for this subject is evidenced by the many handbooks on the subject; and *The Courtier* a widely read book which put forth an exemplum of the perfect courtier, includes a long discussion of this virtue (8). Olivia as a representative of the aristocracy displays this gift of fine repartee. In the wooing scene (I, v) Olivia is a match for Viola and sustains the banter--at least until she begins to be attracted to the young page.

Olivia:	Now sir, what is your text?
Viola:	Most sweet Ladie.
Olivia:	A comfortable doctrine, and much may bee saide of it. Where lies your Text?
Viola:	In Orsinoes bosome.
Olivia:	In his bosome? in what chapter of his bosome?
Viola:	To answer by the method, in the first of his hart.
Olivia:	O, I have read it: it is heresie. Have you no more to say? (pp.84–85)

However, according to Louis B. Wright's book *Middle Class Culture in Elizabethan England*, the most important responsibility of any Elizabethan woman was management of her household. This would be just as true for a countess with a large baronial mansion to control, like Olivia, as for a middle class housewife (9). There were ample handbooks to guide the house manager, and one of the most frequently discussed topics was the relationship between master and servant. The position of a master or mistress toward his household servants seemed to be that of both employer and guardian. For example, in his handbook, Vaugham includes a chapter entitled "Of the duty of masters toward their servants", which contains particular admonishments such as "do not allow a servant to lie a broad at night" and general axioms such as "gravely correct servants according to the quality of their faults" (10).

The first such correction which Olivia must make concerns the dissertion of the clown Feste. In anger at his disobedience, she demands that he be taken away for punishment. Maria has previously warned the clown that his fate will be either service in the army or hanging. It is unlikely that the clown could actually be hanged because a mistress had only the power to have her servants whipped, as we remember from *King Lear*. Maria is probably using hyperbole to impress upon the clown the height of Olivia's displeasure. The confrontation between Olivia and the fool demonstrates two characteristics of the countess. First, Olivia allows the clown his license as a court fool and accepts his jokes at her expense with good humor as a true aristocract would. Her good humor is in sharp contrast to Malvolio's petulence (he is offended by Feste's jokes) (11). But in spite of her good humor, Olivia, the countess, does not stoop to joke *with* the clown; rather she engages in the dialogue "for want of other idlenesse" (p.68) and to distract herself from her fit of sentimental melancholy. Second, in this scene Olivia displays mercy (by forgiving the fool) and insight into the character of her steward (by reprimanding Malvolio). Both mercy and insight are qualities of a good mistress. Through Olivia's speech to Malvolio, Shakespeare makes one of his few explicit moralizations:

> O you are sicke of selfe–love Malvolio, and
> taste with a distemper'd appetite. To be
> generous, guiltlesse, and of free disposition,
> is to take those things for Birdbolts, that
> you deeme Cannon bullets: There is no slander
> in an allow'd foole, though he do nothing but
> rayle... (p. 72).

The question might follow, "Why does Olivia, knowing the faults of Malvolio, retain him as her steward? " From a close reading of the last act one might surmise that Malvolio, while flawed in character, fulfills his job as steward well. Even after Malvolio's unwarranted display of temper at the end of the play, both Olivia and Orsino are anxious to have him return and both try to appease him.

> Olivia: This practice hath most shrewdly past upon thee: But when we know the grounds, and authors of it, Thou shalt be both the Plaintiffe and the Judge Of thine owne cause....
> Orsino: Pursue [Malvolio], and entreate him to a peace...(pp.310–311, 313).

Both Olivia and Orsino as rulers of households try to see justice done and both realize the seriousness of a disrupted household.

The most direct reference to Olivia's responsibility for household management is

Sebastian's soliloguy to the audience (IV, iii) which describes Olivia as she goes about her tasks as mistress of a baronial household. Sebastian says that Olivia

> sway [s] her house, command [s] her followers, Take [s] and give [s] backe affayres, and their dispatch, With such a smooth, discreet, and stable bearing... (pp.275–276).

Another situation which shows that Olivia is concerned about the governance of her household occurs when Viola first arrives as Orsino's ambassador and Olivia's uncle Sir Toby waylays her (I, v). Upon hearing of this breech of protocol, Olivia is much distressed and sends Malvolio to rescue the messenger, saying, "Fetch [Sir Toby] off I pray you, he speakes nothing but madman: Fie on him"(p.74). Olivia, as a countess, does not wish her reputation for hospitality sullied by a drunken uncle. And though she might not turn Toby from her house, she does not hesitate to reprimand him when her own or her household's reputation is endangered, for hospitality was a quality expected in an aristocrat (12).

Olivia's personal maid, Maria, is the one other woman in the household whom we see and as such Maria may be seen as a foil to Olivia. She serves this funtion in two ways: first in their employer–employee relationship; second in their roles as women. In regard to the first relationship we notice that Maria's position as Olivia's personal lady–in–waiting is a high position in the household. Shakespeare is careful to give many hints of this. Maria is called a gentlewoman (p.79) and stays during the interview with the count's ambassador. She shows no concern for Malvolio the steward, apparently being responsible only to Olivia. She is witty in discourse, an accomplishment highly commended and sought after as a display of education and cleverness; and she, too, writes the Italian script which her mistress affects (p.131). Furthermore, she is Olivia's confidant. Olivia tells Maria about family problems (when she is displeased with her uncle's behavior) and about household management (when she plans to dismiss the clown).

Maria, however, shows a certain disloyalty toward her mistress and her confidences. Maria tries to get Sir Toby to reform--not because she wants to keep Olivia's house peaceful-- but because she and Sir Toby are having a secret courtship. In fact, she marries Sir Toby without first informing her mistress. Secondly, Maria warns the fool to think of a good alibi for his disappearance. Thirdly, Maria has noticed Olivia's preoccupation with Cesario and thinks nothing of mentioning it to her cohorts Sir Toby, Sir Andrew and the clown (14) (p.129). Most important in the list of broken obligations is her disruption of the household in the Malvolio–plot. Although the Elizabethan audience might feel that Malvolio's own character leads him into Maria's trap, they would also feel that the chastisement of a too–proud steward was the duty of Olivia, the mistress, not Maria, the servant.

In regard to the second relationship, that of two contrasting female personalities, we can see differences between Olivia and Maria in Act I. Olivia is lanquid and sentimental; Maria is vigorous and clever. Olivia's personality is illustrated in her message to Duke Orsino.

> The element it selfe, till seven yeares heate,
> Shall not behold her face at ample view: But
> like a clostresse she will vailed walke, And
> water once a day her Chamber round with
> eye–offending brine: all this to season
> A brothers dead love, which she would keepe
> fresh And lasting, in her sad remembrance (pp.18–19).

Maria's personality is illustrated in her witty dialogue with sir Andrew Ague–cheek.

Andrew:	Faire Lady, doe you thinke you have fooles in hand?
Maria:	Sir, I have not you by'th hand.
Andrew:	Harry but you shall have, and heeres my hand.
Maria:	Now, sir, thought is free: I pray you bring your hand to'th Buttry barre, and let it drinke.
Andrew:	Wherefore (sweet–heart?) What's your Metaphor?
Maria:	It's dry sir.
Andrew:	Why I thinke so: I am not such an asse, but I can keepe my hand dry. But what's your jest?
Maria:	A dry jest Sir.
Andrew:	Are you full of them?
Maria:	I have them at my fingers ends: marry now I let go your hand, I am barren (pp.41–42).

In personal relationships, Olivia is seldom in control of herself and the situation: Maria, on the contrary, is always in control of herself and the situation. These antithetical natures can best be illustrated by observing the actions of the two women in their respective courtships.

In the character of Olivia, Shakespeare has given his Elizabethan audience a representative court lady. But while Olivia may seem to be fulfilling her position as peeress and mistress of a large household she is not, like Portia, "mistress of herself". The Elizabethan idea of order closely linked governance of self with governance of household and commonwealth. For instance, in Vaugham's *The Golden Grove*, the subtitle combines all three subjects as its thesis, stating: "A work very necessary for all such as would know how to governe themselves, their houses, or their countrey". So while Olivia may exemplify the outward forms of courtliness, she does not possess the highly prized quality of inner control. And since it is upon Olivia, as "sovereign", that the welfare of her household depends, her personal disorder manifests itself in the disorder of her miniature commonwealth.

Olivia's court is a perfect example of a small commonwealth, or at least a small replica of the royal court, for her suitors represent four different ranks. They are a duke, Orsino; a gentleman, Cesario or Sebastian; a knight, Sir Andrew Aque–cheek; and a steward, Malvolio. These characters, acting both as individuals and as representatives of their own classes, woo Olivia; and with all four the comic elements and the confusions of courtship are emphasized.

The Duke Orsino seems the ideal mate for Olivia for he seems to be Olivia's male counterpart in title, wealth and personality. He, her only titled suitor, is known to be "of great estate, of fresh and stainlesse youth; In voices well divulg'd, free. learn'd, and valiant, An in dimension, and the shape of nature, A gracious person" (p.90). One of the characteristics that speaks most highly for him is that he is not interested in Olivia's wealth, especially since it was a common habit for nobility to reimburse sagging purses by marrying wealthy women (15). It is true that Orsino tends to be over–dramatic about his sentimentality, but this is hardly a flaw which Olivia can object to since she possesses it herself. Since both courtiers in the play possess this flaw, perhaps Shakespeare is poking light fun at his aristocratic audience's penchant for "courtly love".

Olivia seems unable to handle the situation of Orsino's wooing and gives as an excuse for her refusal the death of her brother. It is not surprising that Orsino will not believe that Olivia is going to mourn for seven years. The idea of Olivia's self–inflicted spinsterhood would appear particulary ridiculous to Shakespeare's contemporaries in Renaissance England since the idea of virgin spinsterhood was no longer as popular as in

the Middle Ages; instead, it was the chaste married woman who was regarded as an exemplum (16). Viola expresses the popular opinion when she says to Olivia,

> Lady, you are the cruell'st shee alive, If
> you will leade these graces to the grave, and
> leave the world no copie.... In you denial,
> I would finde no sence, I would not understand
> it (pp.88, 91).

However, it is with Cesario, the gentleman, that Olivia's inability to control herself or make wise decisions is most obvious. With the other three suitors, the comedy is leveled at the suitors, in this situation it is leveled at Olivia. While falling in love at first sight is not unusual in Shakespeare's plays, Olivia's passion for a young boy about whom she knows nothing could not help but appear humorous and foolish to the audience. It is not difficult to find the exact point in the play where Olivia becomes interested in Cesario. Always faithful to the aristocratic concern for rank, she asks his station in life. Olivia takes both Cesario's word and appearance as proof that he is a gentleman.

> What is your Parentage? Above my fortunes, yet
> my state is well; I am a Gentleman. Ile be sworne
> thou art, Thy tongue, thy face, thy limbes, actions,
> and spirit, Do give thee five–fold blazon.... (p. 92)

Castiglione, in his book, emphasizes the idea that to have the virtues of a gentleman is as important as having the title. But even if Cesario is a gentleman, he is still beneath Olivia in rank and is without fortune. Also, his youthfulness is emphasized. In spite of Cesario's lower rank, lack of wealth and youthfulness--quite enough to give Olivia pause--she offers her love to him on only their second meeting; and when she is rejected she says,

> Oh what a deale of scorne, lookes beautifull?
> In the contempt and anger of his lip, A murdrous
> guilt shewes not it selfe more soone, Then love
> that would seeme hid.... Cesario, by the Roses
> of the Spring, By maid–hood, honor, truth, and
> every thing, I love thee so, that maugre all thy
> pride, Nor wit, nor reason, can my passion hide...(pp.197–198).

Although Olivia damns her own feelings, she makes no real attempt to stop herself and continues to send for Cesario at every opportunity; she even stoops to "buying his love" (p.216). I think we have a clue to the reason for Olivia's sudden longing for Cesario in her haughtiness. She proudly rejects Orsino, the ideal match for her, saying that he must accept her refusal; yet she is caught in the same situation and quickly forgets her vow of a seven–year mourning period. It seems to be Cesario's indifference which first awakens Olivia's desire. The more Cesario refuses, the more Olivia pursues, at times in a very uncountess–like manner.

So Olivia, stepping out of her role as countess and woman, rashly woos a page, possibly beneath her in rank, younger than she and with no fortune. All this folly is capped by the fact that Cesario is a woman. The situation is not unlike that of Phoebe and Rosalind in *As You Like It*. Viola's treatment of Olivia is what we would expect from a woman of her nature--a mixture of sorrowful amusement and kindly impatience.

Sir Andrew Ague–cheek's courtship of Olivia is perhaps the most amusing of the

four. While Sir Andrew is a knight, he is one step below Olivia in the rank of courtiers (18). Even more important is the fact that Sir Andrew does not have those qualities of knighthood which might make him an acceptable choice despite his lower position. According to Castiglione the foremost quality of a knight is his fighting ability and courage (19). Obviously the knight Sir Andrew lacks both ability and desire for combat, as he is easily beaten by Sebastian and cowers from the young page Cesario. Secondly, Sir Andrew is interested in Olivia for her money. This is in direct contrast to Orsino and highlights the difference between Sir Andrew and the true aristocrat. Thirdly, Sir Andrew's lack of wit is notable. He is easily duped by Sir Toby, who, together with Maria and Feste, makes constant fun of him. And Sir Andrew embodies another parody of the pseudo–gentleman for he keeps his own handbook on etiquette, a popular activity for those in Elizabethan society who wanted to imitate their betters (20). He listens carefully to Viola's witty dialogue, scrupulously copying down vocabulary to be used in courting. Sir Andrew, the foolish knight, receives justice for each of his three follies. For his cowardice, he is beaten by Sebastian; for his greed, he is cheated of his money by Sir Toby; for his pretence to wit, he learns Sir Toby's real opinion of him when Toby says in the last act, "Will you helpe an asse–head, and a coxcombe, and a knave: a thin fac'd knave, a gull? " (pp.297–298).

The problem with Olivia's fourth admirer, Malvolio, and with Sir Andrew is that neither one could fit into the world of the aristocracy even if they were "raised to greatness". Malvolio, the steward, is the suitor of least rank. Ironically, it is not just Malvolio's position which makes him the least suitable of the suitors; it is his character. If Malvolio were "raised to greatness", he would never possess the qualities of a noble courtier so highly regarded in the Elizabethan commonwealth. He is proud, and the audience has the advantage of seeing how Malvolio would treat his new power if he were to obtain it. First, he immediately forgets his original station and is eager to chastise the knight, Sir Toby. He seems most pleased to have command of those servants with whom he is now an equal. He even has the audacity to say scornfully to Sir Toby, Maria and Fabian, "Go hang your selves all: you are idle shallowe things, I am not of your element, you shall knowe more heereafter" (21) (p.226). Secondly, Malvolio wishes to marry Olivia for her money and possesses none of that generosity which is found in the true aristocrat. Besides, Malvolio's inability to be generous and forgiving in nature is emphasized in the last act. Olivia's decision that Malvolio may have revenge for the wrongs done him is just. But Malvolio's intemperance and petulant refusal of this appeasement destroys any sympathy we might have had for him up to this point.

In addition to an exalted sense of pride and lack of generosity, Malvolio is the only suitor who voices lecherous thoughts about Olivia when he says, "having come from a day bedde, where I have left Olivia sleeping" (p.162). Another trait which is obviously missing in Malvolio's character, and which is present in all the aristocrats, is wit--a sense of humor and an ability to converse cleverly. This contrast is demonstrated early in the play during the scene of Olivia's defense of the fool and chastisement of Malvolio. In this scene Olivia takes the criticism of Feste pleasantly; Malvolio is unable to do so. Like Sir Andrew, Malvolio receives justice. The too–proud steward is punished by being locked in the house which he manages and tormented by the people he has scorned. Malvolio's pretentions to Olivia's hand are initially amusing but soon subside to the ridiculous, even the unpleasant.

After the confusion of courtship, however, Olivia's marriage to Sebastian should be seen in a good light. While Sebastian is beneath Olivia in rank, he has all the qualities of an ideal aristocrat. He is courageous, honest, loyal and vigorous; he is, in effect, the male counterpart of Viola. Olivia's marriage to Sebastian halts Olivia's inability to control herself. Accordingly, the return of order to Olivia's life is manifested in the return of order to her household at the end of the play.

Each of Olivia's four courtships is comical--in three the comedy centers on the lovers; in one the comedy is directed at Olivia. These comic situations are paralleled and emphasized by the boisterously funny sub–plot. While it may not be noticeable at first glance, the action of the Malvolio sub–plot also revolves around a woman and her admirers on a lower level and as such amplifies the confusion and chaos found in the main plot (22). Maria, Olivia's gentlewoman, holds court among Sir Toby, an intentional suitor; Sir Andrew, a joking suitor; and Fabian, an admirer. These three form the bawdy and boisterous court over which Maria holds sway. It is she who is the wittiest of her court and the cleverest of this lower group.

Fabian is apparently one of the lower ranking servants in the household. This can be surmised from the fact that he always uses the respectful "you" to Sir Andrew in contrast to Sir Toby's use of the familiar "thou". Maria's and Sir Toby's inclusion of Fabian in the plot is a further example of the disruption present in the house. Fabian, as a low ranking servant, has even less right to be insubordinate to his steward than do Sir Toby and Maria.

Fabian's relationship in the Malvolio–plot is one of delighted spectator as he watches Maria entangle Malvolio in her scheme. His grudge against Malvolio stems from Malvolio's reporting him to Olivia for staging a bear–baiting contest within the confines of the estate (p.153). Fabian's appreciation for Maria is particulary shown in the last act when he tries to protect her from involvement in the Malvolio–plot. Fabian tells Olivia,

> Most freely I confesse my selfe, and Toby
> Set this device against Malvolio heere, Upon
> Some stubborne and uncourteous parts We had
> conceiv'd against him. Maria writ the Letter,
> at sir Tobyes great importance, In recompence
> whereof, he hath married her... (p. 311).

In this second alignment of suitors, Sir Andrew reaps the benefit of Maria's wit by being allowed to observe Malvolio's chastisement; however, he also becomes the object of her wit when Maria easily out–quips him after lulling him into a flirting repartee (pp.41–42). The fact that even a servant, Maria, makes fun of Sir Andrew in this mock–flirtation makes him seen an even more ridiculous figure in his courtship of Olivia.

Maria's relationship with Sir Toby is that of half mother, half mistress. Maria mothers Sir Toby, warning him of Olivia's wrath for his excessive drinking. (This same motherliness comes out in her attitude toward Feste when she is ready to intercede for him with Olivia after his long absence.) Then Maria charms Sir Toby with her wit and vivacity; in fact, she hatches the Malvolio plot for Sir Toby's amusement and revenge (p.129). We get clues early in the play that Maria and Sir Toby are involved in an affair when the clown says, "if sir Toby would leave drinking, thou wert as witty a piece of Eves flesh, as any in Illyria", (p.63) and later Sir Toby affectionately calls Maria his "youngest Wren", (p.205) and says, "I could marry this wench for this device.... And aske no other dowry with her, but such another jest [as the Malvolio plot] (p.178). Although Maria does get Sir Toby to marry her--and marriage to a knight is a step up for a servant--she seems sincerely fond of him. Furthermore, if we take a close look at the education exhibited by both, we find Maria's is far superior to Sir Toby's. And since Sir Toby is penniless, Maria cannot be marrying him for mercenary reasons. Furthermore, by marrying Sir Toby without telling her mistress Maria takes the chance of angering Olivia, the only source of Maria's and Sir Toby's income. With this in mind, the critics who propose that Maria is simply a mercenary servant, trying to better herself through marriage, may not be correct. We must also take into consideration that Olivia does not comment adversely about the marriage when it is announced to her.

Even though Maria is a disruptive element in the household because of her flirtation with Sir Toby, she is warm and kindhearted. Her marriage to Sir Toby can be considered good for two reasons. First it does help to bring order to the household. Second, it parallels and reflects Olivia's marriage to Sebastian which also must be seen in an advantageous light.

The commonplace of a social hierarchy where each level has its special duties and rights is implicit in Shakespeare's *Twelfth Night*; and Shakespeare is careful to give a complete picture of his miniature commonwealth. The focus of the first part of the paper has been on Olivia as a countess because the world of *Twelfth Night* is the world of the aristocratic Olivia and Orsino; yet one cannot ignore the sub–plot because it completes the panorama by providing a lower group of knights and varying degrees of servants.

An examination of the disruption of this small commonwealth has been the purpose of the second part of this paper and again the focus has been on Olivia, but this time as an individual. Olivia's inability to control herself is manifested in the people who revolve around her, her small commonwealth. Her household becomes a gathering place for over–dramatic counts, drunken knights, too–proud servants and practical jokers. The social order is disturbed while Olivia goes through the chaotic situation of courtship. The result of the marriages at the end is that Olivia gains control of herself, each person returns to his proper position in the social hierarchy and the chaos so dreaded by the Elizabethan is resolved and order established.

FOOTNOTES

(1) E.M.W. Tillyard, *The Elizabethan World* Picture (London, 1960), p.13. On p.14 Tillyard says that "Shakespeare puts the opposition to order and his desire for it in terms of chaos...." Furthermore, on p.7 the author points out that "the conception of order is so taken for granted, so much part of the collective mind of the people, that it is hardly mentioned", although it is implicite in Elizabethan literature.

(2) J.E. Neale, *Queen Elizabeth I* (Garden City, New York, 1957), p.65, says, "the Sovereign--the sun round which this world revolved--was the source of the Court's well-being".

(3) Neale, pp.65-66, while explaining the problems involved in Elizabeth's being a ruler and a woman, says, "the adulation which [the courtiers] would have given to a king, quite naturally became tinged with the admiration, flattery, and coquetry which they used towards an attractive young woman. Thus, by a paradox, sex, having created a problem, itself solved it, and the reign was turned into an idyll, a fine but artificial comedy of young men--and old men--in love".

(4) William Vaugham, *The Golden Grove* (London, 1600), Book III, chapter 13. (many of the Renaissance handbooks have no pagination, therefore I will attempt to isolate the quote as closely as possible without page numbers.) Book III, chapter 14, gives a list of privileges granted only to the nobility, such as wearing clothes of gold or immunity from the challenges to combat by "inferior men".

(5) Brian Nicholson, found in William Shakespeare, *Twelfth Night* Variorum Edition, ed. Horace Howard Furness (New York, 1964), p.64.

(6) William Shakespeare, *Twelfth Night* Variorum Edition, ed. Horace Howard Furness (New York, 1964), pp.64-66. Italics mine. All quotes followed by a page number will be from this edition of *Twelfth Night*.

(7) Vaugham, Book III, chapter 15, says a gentleman "must stretch his purse to give liberally". For another example see Richard Brathwaite, *The English Gentleman* (London, 1630), p.61.

(8) *The Mirror of Complements* (London, 1635) and Philomosus, *The Academy of Complements* (London 1640) are two examples of such handbooks. Baldassare Castiglione, *"The Book of the Courtier"*, trans. Sir Thomas Hoby, in *Three Renaissance Classics*, ed. Burton A. Milligan (New York, 1953), p.290. This book was first *translated* into English in 1561.

(9) Louis B. Wright, *Middle Class Culture in Elizabethan England* (North Carolina, 1935), p.201.

(10) Vaugham, Book II, chapter 15.

(11) Thomas Fuller, *The Holy State* (London, 1642), pp.155-156, says. "Harmlesse mirth is the best cordiall against the consumption of the spirits: wherefore Jesting is not unlawfull if it trespasseth no in Quantity, Quality, or Season".

(12) Neale, pp.214-216, gives as an example Elizabeth I's habit of traveling through England, staying at the houses of various nobles. Each attempted to outdo the other in lavishness and other signs of hospitality.

(13) The Italian script had become popular at the Elizabethan court just a short time before the writing of *Twelfth Night*.

(14) Vaugham, Book II, chapter 17, says servants must not reveal "to others their masters secret affayres".

(15) Neale, pp.178-181.

(16) This idea seems be born out by the fact that most of the Renaissance books written about or for women concern themselves with the married woman, not the spinster, as can be seen from Wright's annotated bibliography in chapter 13 of his book.

(17) Castiglione, pp.271–272.

(18) Vaugham, Book III, chapter 13, says that knights are to be ranked with the third and lowest group of gentlemen.

(19) Castiglione, p.274.

(20) Henry Peacham, *The Compleat Gentleman* (London, 1622); Francis Seager, *The Schoole of Vertue* (London, 1557); William Fiston, *The School of Good Manners* (London, 1595) are all handbooks giving general advice on manners. For a more specific discussion of proper and witty discourse see such books as Thomas Twyne, *The Schoolemaster* (London, 1576).

(21) Brathwaite, p.63, discusses humility and points out that in the past it is very rare to find a man *raised* above his station in life who remembered his beginnings and had *humility*. Italics mine.

(22) C.S. Lewis, *The Discarded Image* (Cambridge, 1964), p.193, says that the plots and sub–plots or interwoven stories of the Renaissance may have been influenced by the theories of rhetoric found in the Middle Ages and the Renaissance. The rhetorical device of amplification may well apply here with the main plot and sub–plot concerned with similar situations of courtship.

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"There Is Not a Scrap of Personal Detail in It": Thomas Hardy's Use of Personal Detail in *Jude the Obscure*

Barbara Richter

Thomas Hardy, says the editor of his letters, was a man who "seldom offered his friends any peeps through his windows" (1) in his correspondence. He seemed also to want to discourage the readers of his novels from linking his private life with his work. Asked whether *Jude the Obscure* was autobiographical, he directed his second wife to reply that "there is not a scrap of personal detail in it, it having the least to do with his life of all his books" (2). Yet there is an abundance of material in the circumstances of Hardy's life, in his notebooks and letters, and the quasi-autobiographical *Early Life* (prepared by his second wife under his direction) that assuredly shaped the feelings from which the novel emerged. It is the purpose of this paper to explore that material.

What Hardy says of the history of *Jude the Obscure* in his Preface to the 1896 edition is not complete. The death of a woman in 1886, he asserts, suggested some details from which he made notes the following year and jotted down a scheme three years later. He revisited the scenes in October two years after that and outlined the narrative by the spring of 1893. With the exception of a few chapters he wrote the book from August 1893 to the end of 1894. Unfortunately for those interested in Hardy's method of composition and in the relationship between his life and work, there is as much self revelation in this account as there would be in a train schedule. It is clear that the process of composition involved more complex and more emotional material than he was willing to acknowledge. One finds it in his life and developing attitudes prior to writing the book and in his decisions during the time he was at work on the book.

The experiences and attitude of mind that produced *Jude the Obscure* go all the way back to Hardy's youth. He seems to have been greatly impressed then with adversity, struggle, futility, and disillusion. *The Early Life* describes how once on his way to school he met a boy who studied as he drove the bread cart of a widow. This seems a striking example of man seeking to rise by self-education at the same time he is doing other work. The boy asked to borrow Hardy's Latin grammar (3). Hardy does not say whether he lent his book or not. He apparently lost track of the boy, but he must have dwelled on the incident. Jude too studies as he drives a cart and grapples with forces that seek to grind him down. *The Early Life* also recounts Hardy's memory as a boy of lying on the ground overcome with the thought of the ponderous futility of life (4). He uses this memory and this sense in the scene in *Jude the Obscure* at the end of Chapter Two. After he is beaten by Farmer Troutham, Jude is prostrated by his sense of the utter hopelessness of his situation.

There is evidence in his notebooks that Hard's young manhood was plagued by the sort of bitterness and futility Jude suffered. In the spring of his thirtieth year he writes: "A sweet face is a page of sadness to a man over thirty, the material of a corpse" (5). Jude is not quite thirty when he dies. Hardy's mother seems to have contributed to his pessimism and fatalistic philosophy. In the fall of the same year he records "Mother's notion (and also mine) that a figure stands in our van with arm uplifted, to knock us back from any pleasant prospect we indulge in as probable" (6). Sue Bridehead uses a similar figure at the end of *Jude the Obscure*, a fact that invites speculation about how much Hardy's mother influenced his concept of spiritual love. At the end of 1870 Hardy adds a note that suggests both his last novel, *Jude the Obscure*, and his first, *Desperate Remedies*, written twenty years earlier:

> In a worldly sense it is a matter for regret that a child who has to earn a living should be born of a noble nature. Social greatness requires bitterness to inflate and float it, and a high soul may bring a man to the workhouse (7).

Jude's high soul brings his entire family along with him to ruin. His bitterness comes ironically on the day of his death. In 1871 Hardy is still thinking of aspiration and disillusion: "A mistake often made in foretelling a young man's career —that a given amount of brain, power will result in a proportionate success— so many units, so much product" (8). Jude drastically altered his goal three times, each time discovering that the new object too was denied him, despite his ability.

Hardy's work as an architect provided him with context, information, and feelings for writing *Jude the Obscure*. He creates a strong symbol: a young stone mason restoring old churches who struggles but cannot fulfil his own aspirations to a higher life. Evelyn Hardy notes that Hardy's mind gravitated from church or churchyard scenes to contemplation of death (9). Jude's death at the end of his story is bitter emphasis of his fate. Hardy too had taken part in church restoration. He regretted the part he had played in it, but what went on in the name of restoration often amused him. His Notebook for May 1886 records the ironic fact of an ad in the newspaper to sell two tables of the Ten Commandments (10).

Between 1887–1890 Hardy read much on the controversial topics he treated in *Jude the Obscure*: Milton on divorce and Weisman on heredity as well as Latin, English, French, German, and Spanish satire. In addition, the divorce suit of Captain O'Shea against his wife on the grounds of adultery with Parnell, the Irish Political leader, which was settled in 1889, filled the newspapers of that period with discussions of the question of marriage (11).

About this time he began to develop ideas for character and plot. Fragments of a description of Arabella appear in his Notebook for 1887: "Rachel H. and her rich colour and vanity, and frailty and clever artificial dimple making" (12). Arabella, who seduces Jude and entraps him in a marriage that imposes the first barrier to his hopes, is also a vivid, vain, flirtatious woman who practices making artificial dimples. In 1888 Hardy jots down the nucleus of a plot:

> A short story of a young man "who could not go to Oxford". His struggles and ultimate failure. There is something /in this/ the world ought to be shown and I am the one to show it to them—though I was not altogether hindered in going at least to Cambridge, and could have gone up easily at five and twenty (13).

A year later, on the occasion of Browning's death, he enters a dramatic line from *Sordello* that is central to the accumulating tragedy in his novel: "Incidents in the development of a soul! Little else is worth study" (14). Jude begins life with aspirations of a fine, noble future. He ends cursing the day he was born. What wrought that change constitutes the core of Hardy's indictment of the universe.

Hardy's other literary work prepared him to write *Jude the Obscure*. Tess, in *Tess of the Durbervilles*, the book he wrote immediately before *Jude the Obscure*, is a parallel in reverse to Jude. Like her he struggles to realize the best of what is in him in defiance of laws of nature and society that tear down his energies. Comparing the two novels, William Rutland notes that the thought of *Jude the Obscure* came first and took longer (15). "Thoughts of Phena", which Hardy wrote in 1890, is addressed to a cousin who had recently died. There has been conjecture that it was this cousin that he meant in his reference to the death of a woman in the Preface to *Jude*, and that this woman and the poem contributed to his development of Sue Bridehead (16).

In his Preface Hardy mentions revisiting scenes of the novel. The use of this particular word strengthens the impression that some important emotional part of *Jude the Obscure* was autobiographical. Jude's surname is Fawley. In 1892 Hardy visited Great Fawley, the town in Berkshire from which his maternal grandmother, Mary Head, had come (17) and in the summer of 1893 he visited Oxford. He himself had worked at Radcliffe Chapel there as assistant to Arthur Bloomfield. He declared that Christminister was imaginary, not Oxford, but there is in existence a sheet of paper in his handwriting with place names from *Jude the Obscure*, the words "approximates to", and names from Oxford (19). Carl Weber indicates that Hardy borrowed the comparison of Oxford to the Heavently Jerusalem from Rebekah Owen (19). Salisbury Training College, the school from which Sue Bridehead escapes in Hardy's novel was the school where Hardy's two sisters studied (20)

A large and interesting part of the explanation of why and how Hardy wrote *Jude the Obscure* lies in the long-term development of his attitude toward some controversial subjects treated in the book: sex, suffering, nature, marriage, honesty and pessimism. His thinking on these subjects seems to have come to a head during the time he wrote *Jude the Obscure*. In the preface to the 1896 edition, he speaks of his novel as a book addressed to men and women of mature age which attempted to "deal unaffectedly with the fret and fever, derision and disaster, that may press in the wake of the strongest passion known to humanity, and to point, without a mincing of words, the tragedy of unfulfilled aims" (21). He says he was not aware of anything in it to which exception could be taken. Elsewhere be called *Jude the Obscure* a book "sent out to those into whose soul the iron has entered and entered deeply at some time in their lives" (22).

He felt that writing honestly about sex was difficult but necessary. In the years before writing *Jude the Obscure* he was troubled by how hard it was to write what he called "sincere" fiction. He grants that "it is possible to gain not wisdom but indeed harm from the most elevating works of imagination" because "the eye sees what it brings with it the means of seeing" (23). But he protests against the emasculation of literature as an attempt to protect the young by giving them a false view of life, saying that the passions ought to be presented in literature exactly as they exist in life. He emphasizes that Athenian and Elizabethan masterpieces "reflected life, revealed life, criticized life". He points out that since life is a physiological fact, to portray it honestly means to portray the relations between the sexes, not to substitute the false coloring of "they married and were happy ever after" for the catastrophes stemming from sexual relations: "the crash of broken commandments is as necessary an accompaniment to the catastrophe of a tragedy as the noise of drum and cymbals to a triumphal march". He complains that there seems to be an arbitrary law that the first, third, and seventh commandment never be broken, the ninth only gingerly, the sixth only as much as necessary, and the rest indiscriminately but in a genteel manner (24). After writing *Jude the Obscure* Hardy insisted that it was an honest and moral book: "delicacy or indelicacy in a writer is according to his object.... In writing *Jude* my mind was fixed on the end" (25).

In addition to wanting to write honestly about sex, Hardy strove to reflect all of nature, including its defects, and to use this reflection to voice man's inmost thoughts. He

wanted "to look nature's defects in the face and to transcribe them" (26), to make "these defects the basis of a hitherto unperceived beauty, by irradiating them with 'the light that never was' on their surface, but is seen to be latent in them by the spiritual eye" (27). He felt that the "ultimate aim of the poet should be to touch our hearts by showing his own (28). For him art was "good art only inasmuch as it corroborates something in our mental or emotional makeup, expresses for us something of the yearnings and aspirations that struggle for voice within us" (29).

Hardy felt strongly about the suffering marriage can bring. He rejected the idea that he planned *Jude the Obscure* as a tract against marriage. Moral good is effected, he declared, by something "being obviously written as merely a faithful description of such doings by an unbiased person (30). In a letter to Edmund Gosse he denied that *Jude the Obscure* was "a manifesto on the marriage question although of course it involves it", insisting that "it is concerned first with the labor of a poor student to get a university degree" (31). He did, however, believe that marriage should be dissolvable at the wish of either party: "the English marriage laws are, to the eyes of anybody who looks around, the gratuitous cause of at least half the misery of the community" (32).

Hardy was deeply attracted to pessimism. This mood in him is linked with his compassion for all kinds and degrees of pain, especially for mental anguish. In his notebooks he questions whether there has ever been any great poetry that was not "pessimistic", and he quotes extensively from the Bible discrediting the idea that it could not be pessimism since it offers a remedy. The remedy, he says, "tarries long" (33). He denies that nature can be vindicated with the explanation that she is practicing a morality unknown to man. Pain exists, he says: no secret morality beyond man's understanding can remove it or make it pleasure for those who suffer. They are its infallible estimators (34). The best literature, "the highest flights of the pen", he felt, "are often, indeed mostly, the excursions and revelations of souls unreconciled to life" (35).

During the actual time of composition, three additional things influenced Hardy. He reorganized his basic concept of the novel; he used the novel to express his views on the need for sex education; and he developed confidence in his ability to do a difficult characterization like that of Sue Bridehead.

Hardy assured his publisher before beginning the novel that what he had in mind "would not bring a blush to a schoolgirl's cheek". After the first installment of the serial, however, he offered to withdraw it from publication. The process of composition forced him to reorganize his initial concept, as John Paterson shows in detail (36). The characters took things into their own hands, says Hardy. He had intended to write a critical examination of the educational system, and he found it turning into an examination of the sacrament and institution of marriage. In the original draft Sue motivates Jude's passion for education; in the published serial Phillotson serves this purpose. Phillotson blocks Jude's happiness with Sue, foreshadows his failure and illustrates what Hardy considered the dubious blessings of marriage. The original theme of "struggles and ultimate failure" began turning into an attack on the stringency of marriage laws and the narrow Christianity responsible for them. Jude's original name was Jack, a name common enough in England to suggest universality. The irony of the story is heightened when it becomes Jude, the forgotten apostle and the apostle of the impossible. Jude was to have spent only a month in Marygreen when the story opens. The longer stay emphasizes the harshness of his fate. Sue was to have been adopted by a provost at Christminister. There is greater irony and even fatalistic treachery in her marriage to Phillotson, Jude's former teacher and benefactor.

In 1894 while still at work on *Jude the Obscure* Hardy wrote "The Tree of Knowledge". In it he advocates sex education in the form of a "plain handbook" for young girls and for boys also, a clear reference to Jude's seduction by Arabella (which was certainly already written by this time). He insists that "innocent youths should, I

think, also receive the same instruction: for (if I may say a word out of my part) it has never struck me that the spider is invariably male and the fly invariably female" (37).

Hardy explained to Edmund Gosse that he had always had an attraction for the kind of character Sue was but had never attempted a portrayal because of the difficulty of the task. He emphasized that "there is nothing perverted or depraved in Sue's nature. The abnormalism consists in disproportion not in inversion, her sexual instinct being healthy as far as it goes, but unusually weak and fastidious" (38). He thought of her as the prototype of the modern woman at the end of the nineteenth century, a creature of nature caught in the conflict between mind and instinct.

Although *Jude the Obscure* could hardly have been written by a happily married man, there is controversy about whether Sue was drawn from Hardy's first wife. Carl Weber bases his objection to Douglas Brown's claim in *Thomas Hardy* that Sue was drawn in part from the first Mrs. Hardy on a strong conviction that there was no "brief return of happiness" for the Hardy's in 1895 (34). It is clear that Hardy felt some deep emotion, contrition or possibly even guilt, over *Jude the Obscure*. In answer to a question from Vere Collins as to why he stopped writing novels after *Jude the Obscure*, he declared "I never cared very much about writing novels. And I should not have——" (40). Then he paused and changed the subject. Most of Hardy's poems, according to Collins, deal with "love and marriage", but the second largest category is "illmating and disharmony" (41). It is ironic that what will not bear exposure in prose can be so clearly expressed in poetry. As Hardy commented, Galileo could probably have gotten away with his theories even in the seventeenth century if he had written them in verse. Some biographers believe that Hardy perceived that his first wife was at times unbalanced (42). Indeed, if he knew, his awareness may have nurtured his great sense of compassion.

Hardy's conception of Sue may have been influenced by his friendship with Mrs. Arthur Henniker. He first met her during Whitsuntide (May 19-25), the time at which he was working on *Jude the Obscure* and he commented in his diary on her charm and intuition. Her friendship helped him greatly at a hard, bitter time of his life and may help explain both *Jude the Obscure* and a number of poems. At her death he entered a short note "after a friendship of thirty years" (43). His collaboration with her on a short story, "The Spectre of the Real" (44), makes notably ironic a letter to Hardy from his first wife. She says, "My work, unlike your work of writing, does not occupy my true mind much.... Your novel seems sometimes like a child, all your own and none of me" (45). The first Mrs. Hardy made a pretense of literary aspirations and might have deeply resented her husband's collaboration with someone else. In 1904 Mrs. Henniker brought a woman to visit Hardy who later became his second wife, Florence Emily Dugdale. It was she who declared that Sue Bridehead was drawn in part from Mrs. Henniker (46).

As his editor indicates, Thomas Hardy's personality did not easily lend itself to self revelation. Contrary to what Hardy said, what emerges from a investigation of *Jude the Obscure* is an expression of personal detail. The imagination does not work alone. Hardy did reveal himself in his novel, but he was not happy with it. Both his attitude toward himself and his compassionate awareness of the rights of others help explain this tension. He is essentially a moralist. The poet in him cries over the pain and yearns for the beauty. But the moralist has the last word. And his morality is of a high quality, well worth respect. Yet it is not the most significant factor. What is interesting —and useful— for the student of literature is that the details of his life shaped a powerful feeling, a feeling so strong that Hardy, sensitive, compassionate Victorian moralist, felt constrained to deny "any scrap of personal detail" in his novel relating to his life. This conflict between his need to express and his need to deny explains much of the intensity and poignancy in *Jude the Obscure*. It is entirely consistent with Hardy's sense that art transcends pain, transmutes it ultimately into beauty.

FOOTNOTES

(1) Thomas Hardy, *Letters* ed. Carl J. Weber (1954; rpt. New York: Kraus Reprint Corporation), p.6.

(2) Florence Emily Hardy, *The Early Life of Thomas Hardy*, 1840–1891 (1928; rpt. St. Clair Shores, Michigan: Scholarly Press), p.392.

(3) Florence Emily Hardy, p.274.

(4) Evelyn Hardy, *Thomas Hardy, A Critical Biography* (1954; rpt. New York: Russel and Russel), pp. 17–18.

(5) Thomas Hardy, *Notebooks and Some Letters from Julia Augusta Martin*, ed. Evelyn Hardy (New York, 1955), p.29.

(6) Thomas Hardy, *Notebooks*, p.32.

(7) Thomas Hardy, *Notebooks*, p.31.

(8) Thomas Hardy, *Notebooks*, p.33.

(9) Evelyn Hardy, p.109.

(10) Thomas Hardy, *Notebooks*, p.63.

(11) Evelyn Hardy, p.243.

(12) Florence Emily Hardy, p.206.

(13) Florence Emily Hardy, p.207.

(14) Evelyn Hardy, p.245.

(15) William Rutland, *Thomas Hardy, A Study of His Writings and Their Background* (1938; rpt. New York: Russel and Russel), p. 239.

(16) Evelyn Hardy, p.244.

(17) Evelyn Hardy, p.242.

(18) Rutland, p.247.

(19) Thomas Hardy, *Letters*, p.47.

(20) Carl J. Weber, *Hardy of Wessex* (New York: Columbia University Press, 1940), p.144.

(21) Thomas Hardy, *Jude the Obscure* (1896; rpt. Garden City, New York: Doubleday), p.5.

(22) Florence Emily Hardy, p.271.

(23) Thomas Hardy, *Life and Art* (Freeport, New York: Books for Libraries, 1925), p.74.

(24) Thomas Hardy, *Life and Art*, p.77.

(25) Evelyn Hardy, p.244.

(26) Thomas Hardy, *Notebooks*, p.87.

(27) Florence Emily Hardy, p.151.

(28) Florence Emily Hardy, p.167.

(29) Thomas Hardy, *Notebooks*, p.92.

(30) Thomas Hardy, *Letters*, pp. 46–47.

(31) Florence Emily Hardy, p.271.

(32) Thomas Hardy, *Life and Art*, p.120.

(33) Thomas Hardy, *Notebooks*, p.68.

(34) Thomas Hardy, *Life and Art*, p.131.

(35) Thomas Hardy, *Life and Art*, p.130.

(36) John Paterson, "The Genesis of *Jude the Obscure*", *SP*, LVII (January 1960), 87–98.

(37) Thomas Hardy, *Life and Art*, p.118.

(38) Florence Emily Hardy, p.272.

(39) Thomas Hardy, *"Dearest Emmy" Thomas Hardy's Letters to His First Wife*, ed. Carl. J. Weber (New York: Columbia University Press, 1963), p.99.

(40) Vere H. Colllins, *Talks with Thomas Hardy at Max Gate, 1920–22* (Garden City, New York, 1928), p.42.

(41) Collins, p.42.

(42) Evelyn Hardy, p.242.

(43) Richard L. Purdy, *A Bibliography of Thomas Hardy* (London: Oxford University Press, 1954), p.345.

(44) Ibid. The poems attributed by Purdy to Mrs. Henniker's influence are many: "A Broken Engagement", "A Thunderstorm in Town" (by Hardy's own word), "At an Inn", "In Death Divided", "He Wonders About Himself", "The Coming of the End" (stanza 4), "The Month's Calendar", "Last Love Word", "Alike and Unalike", "The Recalcitrants" (which was Hardy's suggestion for a title to the serial version of *Jude the Obscure*. The novel retained the title of "Hearts Insurgent", since that was already in type by the time the printer received the suggestion), "Come Not; Yet Come", "The Division", and "Wessex Heights".

(45) Thomas Hardy, *Notebooks*, p. 48.

(46) Purdy, p.345.

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ACTUALIDAD DE PIRANDELLO

Lic. Vera König de Estrada

Los jóvenes del Teatro Universitario tienen en mente ofrecer en estos días, una obra de título sugestivo: *Seis personajes en busca de autor.* Posiblemente muchos de ellos se asombrarían al enterarse que Luigi Piradello, el autor que llevan a las tablas de un teatro de vanguardia nació en 1867.

¿Siglo pasado entonces? Sí y no. Sí lo es, si nos atenemos estrictamente a la fecha de nacimiento. Y no lo es porque Pirandello es indiscutiblemente el escritor italiano más notable del siglo XX.

Lo asombroso del caso no está tanto en que haya nacido en el siglo pasado, sino en el hecho de que hoy en día, es tan actual como cuando alcanzó la fama y sus obras de teatro se representaban en las capitales de Europa, América del Norte y América Latina. Sus dramas se siguen representando, y sus novelas y sus cuentos se siguen publicando en muchas lenguas europeas y asiáticas. Además se leen y escuchan con el mismo interés aunque Pirandello fue acusado en su tiempo de usar una técnica artificiosa, un deslumbrante juego de palabras hábilmente puestas en contraste entre sí para conseguir el "efecto dramático". Se habló mucho de técnica piradeliana a propósito de frases como la que dice uno de sus personajes: "lo demostraremos con la virtud de la fuerza –Mejor sería: con la fuerza de la virtud le contestó, tranquilo el Preola" (1).

Pero quien escribe es el mismo autor de la página de *El finado Matías Pascal* que se conoce como la de "la cabeza de una sombra". Ahí con lo que a un lector superficial puede parecer una hábil manipulación de palabras, Pirandello consigue una obra maestra.

Esa forma toda suya, inteligente, personal, aquel relativismo tan discutido que él perfeccionó hasta la obsesión y que dio origen a la crítica de "cerebralismo" y de "moda pirandeliana", aquí expresa una honda comprensión de un drama humano. El drama del hombre que fingió morir para tentar volver a nacer: Matías Pascal. Nuestro personaje sale de su casa turbado al darse cuenta de que su identidad, la que él ha intentado construirse, es ficticia; y puede desmoronarse de un momento a otro:

> "Salí de mi casa como un loco. Me encontré después de un largo rato en la calle Flaminia, cerca del Puente Molle.
> ¿Qué habría ido a hacer allá? Miré a mi alrededor: después mis ojos se fijaron en la sombra de mi cuerpo y me quedé un rato mirándola; al fin con cólera levanté un pie sobre ella. Mas yo no, no podía pisarla, es sombra mía. ¿Quién entre nosotros dos era más sombra? ¿Yo o ella? ¡Dos sombras!

> Allá, allá en el suelo; y cualquiera podía pasarle por encima, aplastarme la cabeza, aplastarme el corazón: y yo, quieto: la sombra, quieta. La sombra de un muerto, esa era mi vida" (2).

Y más adelante, en la misma página:

> "Me restregué duro la frente por temor de volverme loco, de hacerme de eso una idea fija. Pues sí. Así era. El fantasma de mi vida era aquella sombra: era yo ahí en el suelo, expuesto a la merced de los pies ajenos. Ahí estaba lo que quedaba de Matías Pascal, muerto en la Stia: su sombra en las calles de Roma. Más tenía un corazón, aquella sombra y no podía amar: tenía dinero, aquella sombra, y cualquiera podía robárselo; tenía una cabeza, mas para pensar que era la cabeza de una sombra y no la sombra de una cabeza. Justo así.
> Entonces la sentí como cosa viva y sentí dolor por ella, como si el caballo y las ruedas del coche y los pies de los transeúntes la hubieran desgarrado. Y no quise dejarla más allá, expuesta, en el suelo. Pasó un tranvía y subí" (3).

Esto puede ser una forma particular de escribir, lo admitimos: una "técnica" de Pirandello; pero usándola, él la ha sublimado y transformado en narración cargada de *phatos.*

Puede ser un cerebralismo pero entonces es un cerebralismo que se identifica con un alma honda y un corazón vivo: como es la esencia misma del ser humano, centro de los intereses de Pirandello; alma corazón y mente en un todo indivisible.

Además de este estilo individual de escribir, hay en la prosa y en los dramas de Pirandello tantos factores que lo hacen actual, entre otros el hecho de que él mas que cualquier escritor de nuestro siglo, ha expresado ese contraste entre la apariencia y la realidad, entre la ficción y la verdad, que constituye una especie de motivo inspirador de gran parte del teatro contemporáneo desde la Primera Guerra Mundial, hasta nuestros días y no sólo del teatro.

Resulta entonces que la posición de Pirandello es la del personaje principal de toda una época, personaje que ha buscado y ha encontrado un autor al encontrarse a sí mismo en su expresión artística. Decía el crítico francés Gabriel Marcel, a propósito de una presentación, en París, de *El jardín de los cerezos* de Chekov: "La comedia de Chekov marca posiblemente la fecha más importante en la historia del teatro universal, entre los dramas ibsenianos y los *Seis personajes en busca de autor.* (4).

A propósito de este título tan original, pero que también podría prestarse para ser definido como una artificiosa búsqueda de originalidad de parte del autor, veamos lo que dice Pirandello mismo en su Prefacio a esa que él llama "Comedia".

> "Mi fantasía se divierte en traerme a la casa, para que yo saque cuentos, novelas y comedias, las gentes más extrañas del mundo, hombres, mujeres, muchachos, envueltos en casos extraños de los cuales ya no encuentran el modo de salir. Esa misma Fantasía, hace muchos años, tuvo la mala inspiración de traerme a la casa toda una familia, no sabría decir de adonde ni cómo..." "... en resumen aquellos seis personajes como ahora se ven aparecer en el escenario, al principio de la comedia".
> Y ahora uno, ahora otro, más también a menudo abrumándose uno a otro, empezaban a contarme sus tristezas, a gritarme cada uno sus propias razones, a tirarme en la cara sus desordenadas pasiones, más o menos como ahora hacen en la comedia con el desafortunado director" (5).

El título de los *Seis personajes*, como todo lo que Pirandello escribe, y aquí lo

demuestran sus palabras, no es una búsqueda de originalidad; es algo hondamente sentido. En este caso: el drama de la incomunicabilidad, hoy en día tan afortunadamente explotado en el cine italiano por Antonioni. Pero Pirandello no es "actual" sólo a través de Antonioni, ni de los muchos otros que recogen su mensaje, y que no consideramos imitadores por aquel fenómeno de que el abono sólo produce en un terreno fértil. Las situaciones de sus personajes, sus conflictos internos, la genialidad de su "lógica de lo absurdo", conmueven al público y a los lectores como lo hacían hace cincuenta años cuando con éxito clamoroso se estrenó en París su obra maestra. Hoy, como entonces, viven las palabras de Pirandello que escribía en los años veinte:

> "Teatro serio, el mío. Quiere toda la participación de la entidad moral—hombre. No es un teatro cómodo. Teatro difícil, digamos: teatro peligroso.
> Nietzche decía que los griegos levantaban blancas estatuas contra el negro abismo para esconderlo.
> Han terminado aquellos tiempos. Yo las sacudo, al contrario, para revelarlo... Es la tragedia del alma moderna" (6).

Pero también es la tragedia del ser humano de todos los tiempos, porque él es la víctima en las obras de Pirandello. No víctima del hado manejado por el capricho de los dioses, como en el teatro griego; ni víctima de sus propias pasiones como en Shakespeare; ni, como en Ibsen, de las convenciones sociales. Es víctima aquí de ese "negro abismo" que lo rodea, de ese inmenso vacío existencial que crea en los personajes de Pirandello una exasperada conciencia de sí mismos y de sus propias limitaciones.

> "Nadie querría reconocer ese poder oscuro y fatal que designa los límites de la voluntad. Mas digo, se nace y se muere" (7).

Son palabras de Enrique IV en el primer acto de esa obra.

Más que con una psicología pirandeliana, nos encontramos con una forma de psicopatología existencial en ese concepto trágico del hombre de ayer y de hoy; de "uno, ninguno y cien mil". Justo así, como el título de su novela. Es un poco como decir que en Pirandello está toda la comprensión del drama humano; o que la comprensión del drama humano está toda en Pirandello. No se puede tampoco escribir de cosas pirandelianas sin ser un poco pirandelianos en la forma y en el sentimiento de esas cosas.

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6. Luigi Pirandello, "Il mio teatro", *La Tradizione*, Traducido por Vera de Estrada (Roma: Edizioni Mondadori, 1954) p. 346.

7. Luigi Pirandello: "Enrico IV°" in "Maschere nude", traducido por Vera de Estrada. Milano. Edigioni Mondudori. pág. 75.

Tres Estudios Lingüísticos

FEATURES OF CADIZ

Jack L. Wilson

Data for this paper were collected from the *Atlas Lingüístico y Etnográfico de Andalucía*, published in four volumns in 1961, and sponsered by the 'Juan March Foundation', the University of Granada and the Higher Council for Scientific Research. The point selected was Ca 300, which corresponds to the city of Cádiz, in southwestern Spain, on the Atlantic, and in the province of the same name. This point was chosen in the belief that, as a cultural center, it would be more representative of the region.

According to the editors of the atlas, several persons collaborated in gathering the data for the maps, and from internal evidence it seems highly probable that the different investigators made use of different informants as there is a certain lack of consistency in the phonetic data recorded. This, added to the fact that the phonetic data recorded is impressionistic, leaves one with serious doubts as to the value of the linguistic material in general. The phonetic data itself is suspect, as is the lexical data, this latter principally because of the manner in which the questions were sometimes asked in an attempt to elicit answers, followed by a too faithful recording of the answers. If, in some instances, it is apparent that more than one informant was used, in other instances there seems to have been a need for more than one informant because of the possibility that two or more forms are equally current at this point on the map.

As the data are presented, it is impossible to make an accurate statement concerning the phonemic system of the point, but if one is familiar with the language and has preconceived ideas as to the results he expects to find, the maps give interesting information concerning allophonic variations and even morpheme alternants. There is almost no syntactic information, and, as stated before, although some lexical information can be obtained, one is frequently in doubt concerning the status of competing forms in the idiolect of the very same person from whom a form has been elicited. Another problem for the person doing research with these maps as the source for his data is in the glosses. Frequently the Spanish glosses are terms which are general enough to cover the forms elicited from all the informants of Andalusia, but the elicited forms themselves are not glossed. The English translations are often mistaken or misleading.

Illustrating the problems with which the investigator is faced in the use of these maps is the entry is response to the question "What do you call what you do after you get

wet? . The glossed answer is "secarse", which in English might be translated as "to dry oneself off". The English translation on the map is mistakenly given as "to be dried up". The response of the informant, on the other hand, presents two problems; he does not answer with the expected reflexive form "–se", and he does answer with a form which shows he realizes he investigator is expecting a nominal form in his response. His answer is [r seˈkãʰno]. Word boundaries, as in this example, are sometimes shown on the maps, where no phonological word boundaries should exist as juncture is not phonemic in Spanish: [r], corresponding to the masculine singular definite article, is evidently written before a space to indicate syllabicity, although in other examples taken from the maps there is a complete lack of consistency in this regard, but no explanation is attached. The use of the definite article, which nominalizes a verb form, is faithfully recorded by the atlas worker, with the result that this point on the map seems to differ from the surrounding region where non–nominalized verbal forms have been given. The form [r seˈkãʰno] is roughly translatable as "drying ourselves off", standard Spanish "el secarnos", whereas forms in nearby areas do not show the nominalizing article and do show the reflexive form "–se", with the result that a phrase of the type "el secarnos" seems to be in contrast with "secarse". The reflexive suffix certainly exists at this point, as is shown by the entry [kalás ə], "calarse" ('to get soaked').

Illustrating the problem caused by impressionistic recording of phonetic data are the entries [eʰpɛɹðá], "cabecera de la cama" ('bedhead') and [θjuðá:] "ciudad" ('city'). The final phones [–á] and [–á:] seem to contrast, which, if true would mean that vowel length is phonemic, whereas they are actually in free variation. But this is knowledge one has from outside the maps and for which the maps present absolutely no clues.

Again, one finds an apparent, but phonemically non–existent contrast between [–õ] and [–õŋ], as in the following examples:

eʰkɛlõŋ	–	"peldaño, tranco" ('front–door step (s) ')
diʰlɛβõŋ	–	"eslabón" (' fire–steel ')
biðõŋ	–	"zafra" ('metal oil–container')
aɹðɛβõ	–	"aldaba" ('knocker')
hɛɹgõ	–	"jergón" ('straw–mattress')
migɛʰõ	–	"miga" ('soft part of the bread')

With prior knowledge of the language, one can see that in each case where a word stem does not end with /–ón/, the informant has added an augmentative suffix (the translations are mine):

eʰkɛlõŋ	–	'big front–door step'
aɹðɛβõ	–	'big knocker'
migɛʰõ	–	'big soft part of the bread'

In this way, the Spanish glosses "eslabón" and "jergón" are shown to be indicative of the fact that [–õ] and [–õŋ] are in free variation. But this cannot be demonstrated from the data on the maps alone. Indeed, on can almost suspect that the investigator heard the same features when /– ón/ was pronounced, given the great

similarity between [-ɔ̃́] and [-ɔ̃́ŋ /, and sometimes wrote one and then the other form.

Further suspicion is aroused concerning the phonological value of the data included on the maps because of recorded forms such as the following:

amãnə sé ~ amãnə θ é – "alba" ('dawn')
θ juɖá: – "ciudad" (' city')
sjéʰ tɐ – "siesta" ('afternoon nap')

The entry for 'dawn' would seem to indicate that [θ] and [s] are variants of the same phoneme, and this seems to be borne out by comparison with nearby points on the maps. Whereas in standard Castilian Spanish there is a phonemic difference between these two phones, in the area surrounding Cádiz there is a fairly consistent use of [θ] where Castilian Spanish would have syllabble initial /s/.Cádiz, on the other hand, shows [s] in many words where Castilian has / θ /, but whenever [θ] occurs it is in the same phonological form where Castiliam has it. One of two explanations seems likely, and neither is given on the maps: either [θ] occurs consistently in borrowings and is therefore phonemic, although it seems strange that a word so common as 'city' would be a borrowing, or the investigator has used two informants, each of whom has a different phonological system.

Phonetic and semantic similarity are not enough to resolve certain cases concerning the phonemic status of certain phones. On the maps the symbol [ɡ] is found only between resonants. The symbol [ɦ] is found syllable initially and between resonants, but in complementary distribution with [ɡ]. Wherreas [ɦ], a voiced pharyngeal spirant, occurs only before unstressed mind and high vowel symbols and before stressed [ɔ̃́], [ɡ] never occurs before these. Whether [ɦ] is to be assigned to /h/ or /g/ in this case cannot be decided on the basis of phonetic similarity as it is equally similar to both. On the basis of semantic similarity, it might be assigned along with [ɡ], a voiced velar spirant, to the /g/ phoneme:

miɦítíyɐ
miɦítɐ
miɡɐhíyɐ

These three forms were all recorded for point Ca300 as variations of "migajas" ('crumbs'). But in word initial position, [ɦ] is shown to contrast with [ɡ] in the following examples:

ɡarãɸɐ – "damajuana" ('demijohn')
hárõ – "jarro" ('pitcher')
ɦęɖɡɔ̃́ – "jergón" ('straw–mattress')

This would indicate that [ɦ] is not an allophone of /g/, so it should be an allophone of /h/. However, it also contrasts with /h/ in the following example: [halá] "arrastrar, rastrear" ('to pull, draw').

On the basis of the data, then, one would have to set up [ɦ] as a separate phoneme and the problem would shift to the phonemic status of [ɡ /]. [ɡ] does not

contrast with [ɡ], and the choice of the symbol used suggests it should be considered as an allophone of /g/. It is, however, in complementary distribution with [ɦ] which has been set up as a phonemic norm. It is also in complementary distribution with /h/, which never appears intervocalically except before a stressed vowel. The result is that [ɣ] could be assigned as an all phone to any one of three different phonemes or, on the basis of semantic similarity, to all three. All this, of course, is absurd.

Without more evidence than that provided on the maps, one could not accept the possibility that this dialect of Spanish has a phoneme [ɦ] which could contrast with /g/ and /h/ and can only view the recorded forms with the greatest suspicion. It is inconceivable, for example, that a single informant could have used the same phone for both [ɦ á r̃ o] and [mi ʰ i t ɐ] standard Spanish "jarro" /h á r̃ o/ and "miguita" /migíta/. To accept this would mean to accept the possibility of sporadic sound change, the possibility that a single borrowing (or perharps a few) has caused a new phoneme to be introduced into the system, or that in certain forms an allophone floats around, now as an allophone of one phoneme, now of another.

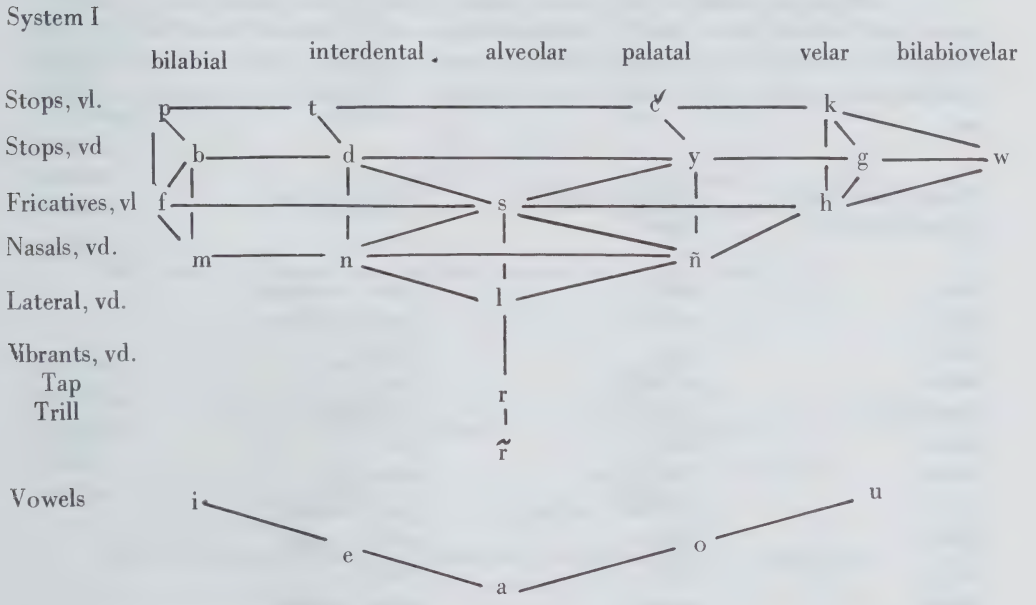
With the above reservations in mind, one can make structural statements concerning this dialected only on the basis of preconceived notions added to the data found on the maps. As regards the maze of symbols given on the maps, with exceptions such as that noted above for [ɦ] where the investigator was either mistaken or more than one informant was used, the symbols were chosen to suggest phonemic units. An upside–down letter of the alphabet represents a lenis allophone of a phoneme, although inconsistently. A fortis allophone is represented by a letter of the alphabet written normally. Symbols such as 'o', which have the same shape whether written upside–down or rightside–up are given a slightly different shape which still suggests a letter of the alphabet. Except in three instances, diacritic marks are used to show allophonic variations caused by manner of articulation and point of articulation. The Greek symbol for 'phi' (φ) is used to draw attention to the fact that the phoneme /f/ in this dialect is a bilabial instead of a labio–dental fricative. Diacritic marke under vowels indicate qualitative, but non–phonemic, differences (vowels in closed) syllables are open vowels, those in open syllables are close), and diacritics above vowels represent phonemic stress or non–phonemic nasalization. As regards nasalization of vowels, it is left to the reader's imagination to supply a nasal consonant phoneme /–n/ where a nasal consonant symbol is lacking in the phonetic transcription after a nasalized vowel. For the entry [ɦ ɛ ɹ ɡ ṍ], for example, it is left to the reader, with his prior knowledge of the language, to phenemicize [–ṍ] as /– ón/.

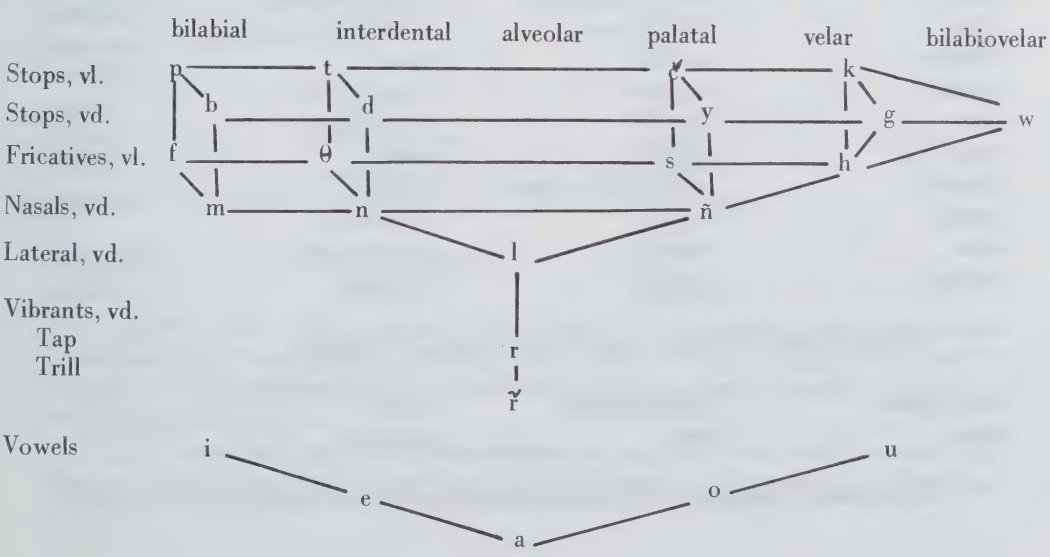
The three exceptions, besides the writing in sometimes of phonemic stress, are those diacritic marks written over 's' and 'r' and under 'n' as [s̄]. [r̃] and [n̲]. The symbols 's', 'r' and 'n' with these diacritics are supposed to represent the phonemes / č / (traditionally written 'ch'), / r / (traditionally written "rr" or 'r') and / ñ / (traditionally written in this same shape).

If two informants collaborated in supplying data for point Ca300 on the maps, there are two slightly different phonemic systems involved, both of which differ from standard Castilian in that the phoneme /l̲/ (traditionally written 'll') is lacking. At this point, this phoneme has merged with /y/. If, indeed, there was only one informant, the latter system shown is the only one involved and this, then, is indicative of a phonological restructuring of the dialect brought about by borrowings, or that the informant was

equally well acquainted with both dialect systems. Because of the ocurrence of [s] in may instances where one expects [θ .] and the fact that [θ] never occurs where one expects [s], if the 'laws' of sound change are to be considered as valid, one can only conclude that the results in a single informant can only be explained as products of the second system's being superimposed on the first.

The actual manner of presentation of the diagrams has been chosen to show symetrical patterning, insofar as this possible:





Neither of these systems can be proved by data on the maps, so it is impossible to make any statements concerning allophonic distribution other than those made above: unstressed phonemes have unstressed allophones (lenis); stressed phonemes have stressed allophones (fortis); words initial and syllable initial voiced stops before a stressed vowel have stop allophones, intervocalic voiced stop phonemes sometimes have fricative allophones and sometimes not.

After having arbitrarily set up a phonemic system for the dialect, however, certain statements concerning the dialect may be made:

1. All the phonemes occur syllable initially within a word, and all but / č / and /ñ/ occur word initially after a silence. Additional data would probably show that /č / and /ñ/ may also occur in this position, although words beginning with /ñ/ even in standard Spanish are rare and may be unknown in this dialect. Examples of word initial phonemes are:

Phonemicized form for point Ca300	Standard Spanish Gloss	English Gloss
pátyo	patio	inner courtyard
tábla	somier	spring mattress
káso	cazo	kettle
bánko	taburete	stool
desayúno	desayuno	breakfast
yúbya	lluvia	rain
gar̃áfa	damajuana	demijohn
wéso	pepitas de la uva	grape seeds
fúnda	funda	pillow–case
θér̃o	cerro	hillock
senísa	pavesa	ashes, embers
hár̃o	jarro	pitcher
mánta	manta de algodón	cotton–blanket
nórte	(viento) norte	north (wind)
lebadúra	levadura	yeast
rlebánte	vendaval	strong wind
r̃áyo	rayo	thunderbolt
imbyéhno	invierno	winter
ehpardá	cabecera de la cama	bedhead
andalú	andaluz	Andalucian
oriná	orinal	chamber–pot
urakán	huracán	hurricane

Syllable initially within a word, we also find / c / and /ñ /:

eč̃ár la yábe	cerrar con llave	to lock
gréña	mies	seedcorn

In the above examples, each initial consonant precedes a vowel except the example

"rlebánte". The initial phoneme /r/ corresponds to the masculine singular definite article and might better be morphophonemisized as /er/, with which it seems to be in morphophonemic free variation.

Word initially, there are very few examples of consonat clusters other than that of /r/ which, as the definite article clusters with any following consonant. The only initial consonant clusters found have /y/, /w/, /r/ or /l/ as the second element in the cluster:

θyudá	ciudad	city
fwente	fuente	dish, platter
graṇíθo	granizo	hail
kwéhta	cuesta	slope
nyébla	niebla	mist, fog
pyédra de kandéla	pedernal	flint
platéro	escurreplatos	draining rack
syéhta	siesta	afternoon nap

Word finally, all consonants are lost except morphophonemic / –n /:

ardabón	aldaba	knocker
dihlabón	eslabón	fire–steel
ehkalón	peldaño, tranco	front–door step
bidón	zafra	metal oil–container
sartén	asador	roaster

All final vowels may be found stressed, and all except / u / unstressed:

dehleí	fresar	mix dough
árko íri	arco iris	rainbow
amanesé– amaneθé amane é	alba	dawn
anáfe	anafe	portable furnace
aklará	aclarar la ropa	to rinse
aldéa	aldea	hamlet
bahtidó	marco de la puerta	door–case
árko–álko	halo de la luna	halo
andalú	andaluz	Andalucian

There is not enough information to make any statemetnt concerning diphthongization, although the entry "anteayé" ([antaɟyé]) 'anteayer' ('day before yesterday') indicates that /ea/. unstressed, is possibly a diphthong, as it is in standard Spanish.

2. A structural change from the standard language has been brought about. if the data are to be believed, in the distribution of the /r/ and /l/ phonemes. Pre–consonantal

allophones of /r/ and /l/ seem to have merged, as evidenced in the following examples: /er wéso/ – [e ɹ ʂ wéso] (from "el hueso" – 'the bone') – "pepitas de la uva" ('grape seeds').

/ehpardá/ – [e^{h} p e ɹ ɗ á] (from "espaldar" – 'back rest') – "cabecera de la cama" ('bedhead').

/dormitóryo/ - [d o ɹ m i tóryo] – "dormitorio" ('bed–room')

/ ehkárɣa / – [e^{h} k á ɹ ɣ e] "escarcha" ('frost').

That this change is not completely assimilated seems to be indicated by the entry [á ɹ k o] [álko] (from "arco" – 'arch') – "halo de la luna" ('halo').

An interesting form is the entry [a ɹ o á d e] – "almohada" ('pillow'), which shows the change of preconsonantal [l] to [r], then loss of the following consonant.

3. Another structural change indicated by the data is the change in distribution of the phoneme /r/ from a prenuclear or postnuclear position in the syllable to include the nuclear position itself. The entries [r d i̯ ^{h} p ə ɹ t áo] (/r dihpertao/ -- from "el despertado" – 'the waking up' or 'the one who is awake') – "despertarse" ('to awake'); and [r l̥ w é̯ ^{h} t a] (/rlwéhte/) – "el oeste" ('west wind') indicate that /r/ is a syllable nucleus.

4. Loss of final /r/ in the verb infinitive has left only the theme vowel, accented, to mark the verb formally as an infinitive. This may or may not have further effect on the grammar.

5. The phoneme /s/, followed in the next syllable of the same word or a following word by consonants has changed to /h/, as can be seen in the following examples:

/bahtidó/ (from "bastidor") – "marco de la puerta" – 'door–case' /r̃ehkordíto/ (from "rescoldito") – "rescoldo" – 'embers' /léhte/ (from "el este") – "(viento del) este" – 'east–wind' /lohpyé/ – "los pies" – 'the feet'.

The masculine plural definite article /loh/ is not treated as a separate word, thus there is no violation of the statement that only morphophonemic /–n/ appears word finally in this dialect.

6. Intervocalic /d/, except when immediately followed by a stressed vowel, consistently disappears in this dialect:

/beréa/ (from "vereda") – "sendero" – 'path'. /dehpeháo/ (from "despejado") – "raso" – "clear".

/nubláo/ (from "nublado") – "cubierto" – overcast' /bahtidó/ (from "bastidor") – "marco de la puerta" – 'door–case' /θyuɗá/ – "ciudad" – 'city'.

/bidón/ – "zafra" – 'metal oil–container' /sopladór/ (from "soplador") – "soplillo" – 'blowing–fan'

This last entry, however, has two variants: /asoplaó/ and /a θop l aó/, both with loss of intervocalic /d/ before stress.

Intervocalic /d/ after stress is kept if the following vowel is the same as the preceding one, as in:

/aroáda/ – "almohada" – 'pillow'. /bawáda/ – "cañada" – 'dale'.

One word, however, can not be explained:

/kádi/ – "Cádiz".

To conclude this part on phonology, one might say that the most interesting

feature of point Ca300 is the fact that most of the area surrounding it consistently uses [θ] where [s] is found both in Cádiz and in standard Spanish. Words such as "siesta" in standard Spanish, for example, appear in Cádiz with initial /s/ (/syéhta/), but in the surrounding area appear with [θ] ([θjéhta]).

7. As far as ethnographic material is concerned, certain forms found in Cádiz are interesting when compared to standard Spanish, but it is often the case that one suspects that more than one form are in competition, as this is the case also in Standard Spanish. One big draw–back of the atlas is its failure to cope with this. Certain of the more interesting forms are as follows:

Ca300

Aceituna – 'olive' – In the surrounding area one finds this word competing with "oliva". In Cádiz, both words are probably equally common, as is also the case with the following entries:

afrecho – 'bran' competing with "salvado"

amarrar – 'to tie, bind' competing with "atar, liar"

aventar – 'to winnow' (literally 'to wind') competing with "limpiar" ('to clean') and "despajar" ('to de–hay').

blanquear – 'to whitewash' (literally 'to whiten') vs. "encalar" ("cal" = 'lime').

Camino de Santiago – 'milky way' (Lit. 'way of St. James') vs. "carril de Santiago" ('way of St. James') in the surrounding area and standard Spanish "Vía Láctea".

canal – 'roof tile' vs. standard "teja".

el carrito – 'The Great Bear' vs. standard "osa mayor". The form found at Cádiz is the diminutive 'little cart', and seems to be competing with forms without the diminutive ("el carro").

carrucha – 'pulley' (lit. 'spool') vs. "polea"

cerillo – 'match' ("cera" = 'wax') vs. "fósforo, cerilla"

corteza – 'crust' (lit. 'bark') vs. "concha (shell), cascarrón"

entaponar – 'to stop us a cask' vs. "taponar"

este año – 'this year', This is the standard Spanish form, and is in competition with the older form "hogaño" ('hoc anno') of the surrounding area.

Lavadero – 'washing–board' (The masculine form reflected here is standard) vs. "lavadera" (with feminine ending).

olivo – 'olive–tree' (the standard form) vs. "oliva"

racimo – 'bunch of grapes' vs. "gajo, ramo", all of which are standard.

romperse – 'to break (of a glass)' (lit. 'to tear') vs. "quebrarse"

sembrar – 'to plant' vs. "plantar"

vino alborotado – 'clouded wine' (lit. 'stormed up or stormy wine) vs. "vino turbio".

trocha – 'by–road, by–path' vs. "atajo" (lit. 'short–cut').

In all the above cases, it has been impossible to morphophonemicize as the words for point Ca300 are given on the maps in standard Spanish spelling.

In concluding this paper, one can only say that this atlas is inadequate in enabling one to make valid statements, whether phonological or lexical, the former because there is alternately too much and too little data and because one must at times doubt the accuracy of what has been recorded, and the latter because the frequency of possibly competing forms is not shown. Little morphological information is given, and there is

almost no syntactic data. On the positive side, of one knows the phonemic system already, he is often able to equate the phonetic symbols used on the maps with their proper phonemes, and, on the lexical side, he is a able to determine that a certain lexical form at least exists at a given point on the map. It would seem, however, that a tremendous amount of energy has been expanded on the part of the compilers of the atlas for such meager results.

STRUCTURALISM

Jack. L. Wilson

The aim of the structuralists was to develop discovery procedures whereby data, once collected, could be classified properly. By applying rigorous methods of classification without recourses to meaning except insofar as meaning is needed to know if two forms are the same or different, the structuralists worked first with the phoneme, which they used as a building block for analysis on higher levels. According to the structuralists, a sentence is to be recognized and analyzed, following an explicit procedure and building up from the morpheme and finally to syntax. The paradigm within which the structuralists worked was furnished by Leonard Bloomfield in "A Set of Postulates for the Science of Language", which appeared in the journal *Language* in 1926. Joos, *in Readings in Linguistics* (1958), calls this "the Charter of contemporary descriptive linguistics", and adds that "nothing in them has been truly superseded".

Bloomfield's Theory:

Bloomfield's theory is based on the premise that the scientific study of a language must procede from a synchronic description of that language based on the comparison of sets of descriptive data. From these data the linguist will make inductive generalizations about that particular language.

In his "Postulates", Bloomfield lists a series of definitions and assumptions, after explaining that linguistic science should (and can) concern itself only with speech events, as opposed to stimulus events which may have resulted from the speech event. In itself, the speech event is of value only insofar as it has a meaning, but 'meaning' is impossible to define. The linguist must know, whether utterances or parts of utterances are the 'same' or 'different' in meaning. To this extent, meaning is essential in the study of language. Bloomfield also believes that the purely physiological aspect of speech belongs to the domain of physics and should not concern the linguist.

Bloomfields adopts the materialistic or mechanistic theory, which outlaws the concept of 'will' or 'mind' in the speech event, but limits the linguists to only that aspect of speech which he can directly observe and reduce to generalized rules. He rejects reliance on 'intuition' as mentalistic.

In his "Postulates" he begins by defining 'utterance' as 'an act of speech' and states the basic assumption that in a speech community successive utterances are alike or partly alike. Common vocal features are forms and these are made up wholly of phonemes or

bundles of distinctive features.

Phonemes are arranged in minimum meaningful forms, called morphemes, which may be bound forms or free forms. A minimun free form is a 'word'; a non–minimun free form is a 'phrase'. The forms of a language are finite in number.

Forms which have recurrent sames of order are 'constructions'. If they are bound forms, the construction is a morphological construction. The construction of free forms in a phrase is a syntactic construction. A maximum form in any utterance is a 'sentence'. Each of the ordered units in a construction is a position, which can be filled only by certain forms. The positions in which a form occurs are its functions. Forms which have the same functions constitute a form–class, the functional meanings of which constitute the class- meaning. The functional meanings and the class meanings of a language are the categories of the language. Form classes may be divided into subcategories. A form–class of words is a word–class, and the maximum word–classes of a language are its *parts of speech*. (By 'maximum word–class', Bloomfield means that no more bound forms can be added).

Language:

In his book *Language* published in 1933, Bloomfield elaborates on the definitions and assumptions outlined in his "Postulates". He begins with a discussion of the phoneme, which he states cannot be isolated in the laboratory because a laboratory record will show only the gross acoustic features of sound, whereas only certain of these features are distinctive, i.e. have differential meaning. They are distinctive, not because of any inherent properties they may have, but because the speaker–hearer of a language has been trained, through habit, to recognize certain of the gross acoustic features and to ignore all the rest. To find out which features of an utterance are distinctive and which are not, we *must* know whether certain speech forms are the same or different for the speaker–hearer of the language, i.e. we must rely on meaning. Because he cannot determine which features are distinctive scientifically, the linguist must accept the as sumption that "in every speech community some utterances are alike in form and meaning". By experimenting, he will find that the distinctive features in any language are limited in number. Bloomfield then outlines the procedure to be followed to determine which features are different for purposes of communication. This is done, with the word 'pin' for instance, by discovering resemblance. Different parts of the word are compared with similar parts of other words, until the word has been minimally segmented into as many parts as can be found to be replaceable by another minimally segmented part to which it bears a partial phonetic resemblance. Each minimally segmentable part, which is a bundle of features, it a phoneme. 'Secondary phonemes' (pitch, accent, off–glides, pause) are harder to identify, but may be identified by following the same procedure on a higher level.

From the phoneme, linguistic study procedes to the classification and arrangement of the morpheme, which can be described in terms of phonemes and their succesion. As to classification, they may be simply listed in some convenient order as, for example, alphabetically. "The meanings,... [i.e.]the semenes, could be analyzed or systematically listed only be a well–nigh omniscient observer". (p.162). The total stock of morphemes in a language is its *lexicon*, and is to be added as an appendix to the grammar.

The meaningful arrangement of forms in a language constitutes its grammar. In general there are four ways of arranging linguistic forms: (1) order, (2) modulation, (3) phonetic modification, (4) selection.

A simple feature of grammatical feature, corresponding to the phoneme, is a grammatical feature or 'taxeme' (the smallest unit of form). The smallest meaningful unit of grammar, correspondign to the morpheme, is the 'tagmeme' and its meaning is called an 'episememe'.

A morpheme is a set of one or more phonemes in a certain arrangement, and because of its features of selection, order, modulation and phonetic modification, is therefore a grammatical form (or tagmeme).

Sentence types:

In any utterance a linguistc form is either a constituent of a larger form or an independent form. Any linguistic form which does not actually occur as part of a larger form is a sentence. An independent form, therefore, is recognized as a sentence merely because it is an independent form. But besides this, in most or all languages there are various grammatical features (taxemes) which identify them, e.g. in English, modulation and features of selection. In most or all languages there are two great sentence types: 'full sentences' and 'minor sentences'. Full sentences are 'favorite' sentence–forms' of which English has two: 'actor–action phrases' and 'commands'. Other languages have other types (e.g. Italian has a 'sentence–word' type).

Sentences which are not favorite types are minor types. English, for example, has as minor types interjections ('ouch, sh, gosh, hello, sir, good–bye, thank you, etc.), exclamations ('damn it'), and aphoristic types ('the more the merrier').

Syntax:

Grammatical constructions in which bound forms appear among the constituents are morphological constructions. Syntactic constructions are constructions in which none of the constituents is a bound form. The free forms (words and phrases) of a language appear in larger free forms (phrases), arranged by taxemes of modulation, phonetic modulation, selection and order. Any meaningful, recurrent set of such taxemes is a *syntactic construction*.

Large form classes are subdivided into smaller sub–classes to show restrictions which may hold between classes, such as concord for example, or the selection which distinguishes 'I' and 'me' ('I know', but 'Watch me').

In every syntactic construction, two or more free forms are combined in a phrase, which in turn may belong to the form–class of one of its constituents ('endocentric construction'), or which may not ('exocentric construction'). But these latter are few in a language. Endocentric constructions are definable in terms of a 'center' or 'head'; exocentric constructions are definable in terms of word–classes.

Parts of speech

According to Bloomfield, the term 'parts of speech' of a language has traditionally been applied to the most inclusive and fundamental word–classes of a language, and then the syntactic form–classes are described in terms of the parts of speech that appear in them, in other words in a circular fashion. He believes it is imposible to set up a fully consistent scheme of parts of speech because word–classes overlap and cross each other, and he therefore makes no attempt to do so. Instead of listing parts of speech, Bloomfield believes it is more important to give formal definitions of constructions and form–classes, which may be words or phrases.

Morphology:

"A linguistic form which bears no partial phonetic–semantic resemblance to any other form, is a 'simple' form or 'morpheme'.". *(Language*, p.161).

Morphology deals with constructions in which bound forms appear among the constituents of a language. The resultant forms are therefore either bound forms or words, but never phrases. Accordingly, morphology includes the constructions of words and parts of words, while syntax includes the construction of phrases. Because morphologic constructions seem more elaborate in languages than syntactic

constructions, languages differ more in their morphology than in their syntax, and the logical conclusion would seem to be that proportionately more time should be spent on the description of morhology than on syntax. For the same reason, the different ways that different languages make us of the meaningful grammatical arrangement which he calls 'substitution' should be carefully described.

Form–classes and lexicon:

There are two kinds of meaningful features of linguistic signaling: lexical forms, which consist of phonemes, and grammatical forms, which consist of taxemes (features of arrangement). Lexical forms are connected to grammar because they always show a grammatical structure and because in any actual utterance they are always accompanied by some grammatical feature (they appear in some function, for example). Lexical forms with any feature in common belong to the same 'form–class', but because of class cleavage may belong to different form–classes on a lower level (i.e. to different subdivisions of the larger form–class).

Bloomfield believes that lexical forms cannot be described in terms of meaning, but only in terms of morphological or grammatical (tagmemic) features. Thus, 'fire', traditionally defined as coming under the class of 'name of a person, place or thing', is actually an action (or process). Instead of definition by class–meaning, be would determine the form–class of a lexical form by the structure and constituents of the form, by the inclusion of a special constituent, or marker, or by the identy of the form itself. In this way, every word in a language would be, and must be, assigned to one or another form–class, after which the speaker (and grammarian) need not deal separately with each phrase in an utterance, as the form–class of almost all phrases can usually be determined by the form–class of one or more of the included words.

According to Bloomfield, a complete description of a language would list every form whose function is not determined either by structure or by a marker, which belongs to the grammar proper. Thus, he would include a lexicon as an appendix to his grammar, and in this lexicon he would list all the morphemes and list the form–class of each morpheme with an indication of any class cleavage. Bloomfield states that this is not the same as indicating parts of speech, principally because of class cleavage.

Although a satisfactory parts–of–speech system cannot be set up for a language like English, certain categories can be distinguished, principally on the basis that they admit inflections or appear in certain positions in syntactic constructions or phrases. Again, he does not attempt to list these categories, but leaves them to be worked out by others. He believes, however, that after this has been done, a basis will have been laid down for the finding of language universals.

Analogy:

As has been seen, the function of some forms is determined by their constituents or their constructions. "Any function that is so determined is said to be 'regular'..." (p.273). The speaker can use a form in regular function even when he has never heard the resultant form, but he can use a form in irregular function only if he has heard it used in this function. A complete description of a language would, therefore, state the regular functions of whole form–classes. Classes with irregular functions would force a listing of all the forms of the class.

Most speech–forms are regular, "in the sense that the speaker who knows the constituents and the grammatical pattern, can utter them with out ever having heard them; moreover, the observer cannot hope to list them, since the possibilities of combination are practically infinite" (p.275). Bloomfield states that the grammatical patterns of a language are its regular analogies, and the "regular analogies of a language are habits of substitution" (p.276).

Bloomfield's followers:

According to Kuhn in *The Structure of Scientific Revolutions*, "In a science... a paradigm...like an accepted judicial decision in the common law...is an object for futher articulation and specification under new or more stringent conditions" (p. 21). Bloomfield's concepts constitued the paradigm or guide for further research. In this research there was little theoretical questioning (although Pike, for one, early rejected Bloomfield's statement that study of the physiological aspect of the phoneme was outside the domain of linguistic proper), and articulation of the paradigm came to mean filling in the general outline which Bloomfield had left, with emphasis on rigorous procedures for segmenting forms. Because the phoneme was the beginning point for any descriptive study, attenption was focused on it to the extent that in most larger texts written by structuralists the phonological section usually constitued the bulk of the work. The rigorous procedures developed for phonology were applied then to morphology, which continued to be the main object of attention in grammar although efforts were made to apply the same rigorous procedures to syntax. Because of the rigorous procedures of analysis demanded, the doctrine that 'levels should not be mixed' (phonological, morphological, syntactical) gained in popularity, but was never universally accepted.

Typical of the work done in attempting to apply rigorous procedures of analysis to morphology was Zelling Harris' "Morpheme Alternants in Linguistic Analysis", published in the journal *Language* in 1942. In this article, Harris continued the block–building process begun with the phoneme, and tried to make the study of morphology more like that of phonology. He presented a methodology for arranging the phonemes of a language into morphemes and morpheme alternants in three steps:

1. Each phonemically written linguistic expression is divided into the smallest parts which recur with the same meaning in different expressions, each such group to be called a morpheme alternant.

2. All alternants which satisfy the following requirements are grouped into a distinct morpheme unit: (a) alternants which have the same meaning, (b) those which never occur in identical environments, and (c) those which have combined environments which are no greater than the environments of some single alternant in the language.

3. General statements are to be made for all units which have an identical difference between their alternants.
   Harris' contribution was his procedure for uniting alternants into a single morpheme (point number two).
   Later, Harris tried to apply the same rigorous procedure to syntax in an article "From Morpheme to Utterance", which appeared in the journal *Language* in 1946.

As befits the formulator of a paradigm, Bloomfield had only outlined his concept, both in his "Postulates" and in his book *Language*. The actual graphic ways his ideas could be represented were not shown, but rather were left to be depicted by his followers. He stated as a general principle that phonemes are grouped into morphemes, morphemes into words, words into phrases, words and phrases into others phrases, and phrases into sentences. He spoke of sentence types and of different types of constructions and their relations, but without going into detail. Zelling Harris then attemped a formalized procedure for describing utterances directly in terms of sequences of morphemes rather than of single morphemes, reducing to writing with abstract symbols the techniques of substitution which every linguist then used as he worked over his

material.

Harris begins by stating that one of the chief objectives of syntactic analysis is a compact description of the structure of utterances in a given language. For his method to be applied, the morphemes of the language in question must have already been isolated and statements of selection must have been made. His procedure consists of repeated substitutions in pre–selected frames of single forms which are then expanded to as highly complex forms as will still fit the frame. General statements are then made in the manner: if CAD = CBD, then A and B are members of the same substitution class.

Substitute classes of single morphemes are first formed and listed. If any of them do not occur in the same order, they are placed in a special sub–class. For example, 'I'll write *a poem*' or 'I'll wire *ahouse* but not 'I'll write *a house*' nor 'I'll wire *a poem*'.

Harris then extends the substitution class to include sequences of morphemes, not merely single morphemes. This is his big contribution. We ask not only if A and B each occur in the environment C___C, but also if AE together, or FGH, also occur. If they do, then A, B, AE, FGH are all substitutable for each other, and we may say that are all members of one substitution class, which is not merely a class of morphemes, but a class of morpheme sequence. The single morphemes in the class are merely the special cases where the sequence onsists of one. Substitution of sequences must be so carried out as to satisfy all the manipulations of that environment which forms the frame of the substitution (to avoid, e.g. 'I was here –We were here').

BC = A means that the sequence consisting of a morphene of class B followed by a morphene of class C can be substituted for a single morpheme of class A. If A substitutes for B only if C follows, we write AC = BC.

Using letters of the alphabet to represent his symbols, Harris indicates thirty some–odd morpheme classes and sub–classes.

Sequences of morphemes classes which are found to be substitutable in virtually all environments for some single morpheme class are equated to that morpheme class: AN = N means 'good boy', for example and can be substituted for 'man' everywhere, with certain limitations (^{X} young good boy). If it proves impossible to substitute the equivalent of a symbol for that symbol in some occurrences, we distinguished these occurreces by giving the symbol a raised number. A raised number is assigned to each class symbol, e.g. X, when it appears first (and providing there is an X^2 or above). The next time X appears in an equation, we assign the same raised number if the equivalents of this X can be substituted for X^1 in overy equation so far written. If the new X cannot be substituted, we number it X^2, etc. On the left–hand side of the equation, each raised number will be understood to include all the lower numbers, unless otherwise noted.

Equations envolving E^1, V^1, A^1, are almost all cases of word formation, affixes are not considered as distinct elements in the sentence structure, but merely as elements altering the substitution class of the neighboring morphemes.

Equations with a raised number^2 indicate the closing of word formation, and equations with the same raised number^2 and also^3 and^4 develop and complete phrases. All morpheme classes and all sequences of morphemes, except the independent ones ('yes, Why? , No! , Come! , John!) occur in positions where they can be replaced by N^4 or V^4. The sequence of morphemes which occur in English utterances can therefore be stated in terms of these classes.

This kind of description can be carried out beginning with the uttterance, but Harris believes that there are fewer theoretical differences if we begin with the morpheme and work up.

The kind of description we have is a position analysis. Morphemes with similar distributions are put in the same class, but, because a morpheme is sometime put in more than one class, each morpheme is not correlated with its environment, but instead the environment (selected frames) is correlated with the morphemes which enter it.

A syntactic description carried out with this procedure will give information abou suprasegmental features, although this is perharps the weakestpart of the description. I will show morphological boundaries and the relations between one morpheme class and other morpheme classes. The formulae which morpheme classes occur by themselves, and which clasees are bound to constructions. We can also learn which morpheme classes are the heads and which are the closures of sequences in which they appear. The formulae show the order of classes in each sequence.

The formulae in themselves are statements of selection (e.g. NV sequences occu NT sequences do not), but features of selection, such as concord for example, a considered the domain of morphology and as having been taken care of before treatmer of the sequences is begun.

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FONOLOGIA AUTONOMA DEL FRISON

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Hay 28 fonemas segmentales en el frisón: 9 vocales y 19 consonantes. Además de los símbolos de estos 28 fonemas, se usa el símbolo "E" para indicar la neutralización vocálica que se efectúa cuando cualquier vocal está en posición no acentuada. Es dudosa la necesidad de incluir "E" en una lista de fonemas autónomos en vista de la imposibilidad de encontrar oposiciones mínimas con otras vocales. Estas dudas se fortalecen ante el hecho de que, aparentemente, la cualidad de cualquier vocal se reduce a "E" al perder su acento de intensidad. Por otra parte, en este trabajo el acento de intensidad no se considera fonémico, lo cual debería inclinar la balanza a favor de su inclusión como fonema a menos que con más datos se pueden encontrar contrastes mínimos que prueben la existencia de una juntura interna abierta como rasgo distintivo de la palabra. Es de esperarse esta juntura en frisón, aunque no es posible comprobarlo con estos datos, y es con esto en mente que se ha escogido el símbolo "E" para representar cualquier vocal que esté en posición átona. Si resulta posible probar que no existe una juntura interna abierta en frisón, habrá que considerar que "E" es un fonema.

Los fonemas segmentales del frisón son:

Vocales

i	**ü**	**u**
I	**ö**	**o**
e	**ä**	**a**

Consonantes

	Labiales Sor–Son	Alveolares Sor–Son	Velares Sor–Son
Oclusivas	p – b	t – d	k
Fricativas	f – v	s – z	x ^{g}
Nasales	m	n	ŋ

Lateral		l	
Vibrante		r	
Paravocales	w	y	h

1. **Vocales:** La siguiente lista demuestra el contraste de las vocales en frisón: (Aquí, como en todas las listas que siguen, se han omitido las rayas oblicuas, "/", que indican que lo que encierran son fonemas).

a. bihn – 'hueso', it – 'comer', viht – 'mojado'
b. bIhn – 'frijol', vIt – 'saber', rIht – 'rojo', Ik – 'yo'
c. behn – 'niño', kes – 'cereza', beht – 'cama'
d. bähn – 'pista de patinar', ähpEl – 'manzana'
e. bohn – (nombre de un río), noht – 'norte'
f. bahn – 'cinta'
g. üt – 'fuera', hüzEn – 'casas'
h. öt – 'ello', gröht – 'grande', söstEr – 'hermana'
i. fuht – 'pie', buk – 'libro', huhs – 'casa'

El núcleo de la sílaba frisona puede consistir en una sola vocal (V), una vocal seguida de una paravocal frontal ascendente (V más /y/), una vocal seguida de una paravocal centralizante (V más /h/), o una vocal seguida de una paravocal dorsal ascendente (V más /w/). Ejemplo de los núcleos silábicos del frisón son:

V	V más /v/	V más /h/	V más /w/
vit – 'blanco'	Viyt – 'ancho'	viht – 'mojado'	iw – 'siglo'
vIt – 'saber'	IyzEl – 'asno'	bIhn – 'frijol'	–
nek – 'cuello'	hey – 'él'	behn – 'niño'	–
üt – 'fuera'	–	fürh – 'fuego'	süwvEr – 'plata'
öt – 'ello'	–	gröht – 'grande'	köwkEn – 'çocina'
bär – 'barra'	säys – 'seis'	bähr – 'camilla'	gäwt – 'oro'
buk – 'libro'	buy – 'bova'	yuht – 'hoy'	skuwx – 'zapato'
tosk – 'diente'	moykE – 'tía'	hElohzE – 'reloj'	owvEn – 'horno'
tasKe–'bolsita'	bay – 'muchacho'	bahn – 'cinta'	frawlyE – 'mujer'

El fonema sencillo /i/ es parecido cualitativa y cuantitativamente al [iy] inglés de 'heat', pero sin paravocal perceptible. La secuencia frisona /iy/ es parecida en cantidad y cualidad al núcleo silábico de la palabra inglesa 'lead' [liy: d], aunque de nuevo sin paravocal perceptible. La secuencia frisona /iy/ representa un mero sostenimiento o alargamiento del /i/ frisio. La paravocal /h/, excepto después de /ä/, representa una paravocal centralizante, la cual se parece fonéticamente a la *schwa* inglesa no acentuada. Después de /ä/, representa alargamiento.

El fonema sencillo /I/ del frisón es parecido al fonema vocálico de la palabra inglesa 'it', pero la secuencia /Iy/ fonéticamente es más parecida a [ey]. La palabra /nIvf/ – 'primo', por ejemplo, fonéticamente es parecida a [neyf]. La combinación de /I/ más /y/ parece exigir una disimilación mediante la depresión de la altura de la lengua delante de una paravocal ascendente inmediatamente posterior para evitar su asimilación con /i/ o /iy/. Como resultado, en la secuencia /e/ más /y/, también baja la lengua durante la

pronunciación de /e/, produciéndose un sonido parecido al /ae/ inglés, o bien un sonido intermedio entre /ae/ y el /e/ ingleses (e.g. en 'sat' y 'set').

No está claro si la paravocal /h/ produce un efecto parecido sobre la vocal /ö/. En los ejemplos que se dieron antes, /gröht/ y /köwkEn/ pueden compartir la misma paravocal en vez de paravocales diferentes, y esta paravocal bien puede ser o /h/ o /w/. Es también posible que lo mismo suceda con /ü/ seguida de una paravocal.

El fonema /o/, sin paravocal siguiente, parece darse únicamente delante de /–k/ o /–sk/, como, por ejemplo, en palabras como /bok/ – 'cabro' y /tosk/ – 'diente'. Esto no le parece extraño a un hablante cuya lengua materna sea el inglés. Para muchos hablantes de inglés el fonema /o/ nunca se da sin una paravocal siguiente, y en el dialecto de este autor se presenta únicamente delante de una /–r/ siguiente. En todo caso, no es de esperar necesariamente que haya simetría absoluta en un idioma y aunque es probable que se puedan llenar algunas lagunas en este cuadro de núcleos silábicos, no sería extraño si no fuera posible.

Cada una de las vocales tiene un fono nasalizado cuando la vocal está en contacto con una consonante nasal. Este punto se toca más adelante.

Deberíamos mencionar el hecho de que las vocales en frisón presentan oposiciones fonémicas solamente en posición inicial o central en la palabra. Si la vocal está acentuada en posición final de la palabra polisilábica, con la única excepción encontrada de kükElEkü – 'quiquiriquí', siempre hay una paravocal siguiente, pero cualquier vocal no acentuada, no importa su posición en la palabra, está neutralizada. Esta neutralización, como hemos visto ya, está representada en este trabajo por el símbolo "E", aunque bien la podría representar cualquiera de los símbolos vocálicos en vista de que nunca hay oposición. Una excepción a esta afirmación posiblemente sea la palabra /rEgIhrIn/ – 'gobierno', pero si nuestra hipótesis tiene validez, la sílaba final está ligeramente acentuada aunque sin la intensidad de la sílaba anterior.

II. Consonantes: Aunque la aspiración no es rasgo distintivo del frisón, hay menos aspiración en las oclusivas y las fricativas que en el inglés, excepción hecha del fonema /x/ (parecido al "ch" alemán) que no tiene contraparte en el inglés.

En posición inicial en la palabra, encontramos en frisón ejemplos de todas las consonantes, excepto /ŋ, x, z/. Todas las consonantes se encuentran en posición central en la palabra, y en posición final se encuentran todas excepto las oclusivas y fricativas sonoras. En un alfabeto morfofonémico sistemático habría que incluir también a éstas, agregando que en posición final delante de un silencio se convierten en sordas.

En general, y aunque existen oposiciones fonémicas, las oclusivas sonoras intervocálicas tienden a convertirse en fricativas, lo cual presenta un problema para la confección de un cuadro de fonemas consonanticos. Podría incluirse el fonema /g/ en la lista tanto como fonema oclusivo como fonema fricativo en vista de que incluye ambos fonos. En posición intervocálica después de un acento es el fricativo [ɣ]; en todas las demás posiciones y contextos donde se presenta es el oclusivo [g]. No se da, por supuesto, en posición final en el enunciado.

Ejemplos de las consonantes en las tres posiciones son:

Inicial	Central	Final
p – pär – 'pera'	ähpEl – 'manzana'	Ilp – 'labio'
b – bär – 'barra'	knIbEl – 'rodilla'	–
t – tosk – 'diente'	strIhtE – 'calle'	boht – 'bote'
d – dos – 'corbata'	gäwdEn – 'dorado'	–
f – fiyf – 'cinco'	tähfEl – 'mesa'	fiyf – 'cinco'
– viyf – 'esposa'	hävE – 'tener'	–
s – sIy – 'mar'	frisEl – 'tranza'	huws – 'casa
z – –	dIzE – 'estos, esos'	–
k – kIn – 'barbilla'	täkE – 'rama'	Ik – 'yo'
g – gihl – 'amarillo'	fugEl – 'pájaro'	–
x – –	käxEl – 'estufa'	dE hähx – 'La Haya'
h – hahn – 'mano'	freyheyt – 'libertad'	yah – 'sí'
m – meys – 'maíz'	komE – 'venir'	blam – 'flor'
n – ney – 'nuevo'	äynEn – 'patos'	bIn – 'soy'
n, – –	goŋEn – 'fue'	rIŋ – 'tocar'
l – IlzE – 'estar acostado'	balE – 'toro'	käxEl – 'estufa'
r – rIŋ – 'tocar'	skyIrE – 'tijeras'	pär – 'pera'
w – wäzEn – 'medias'	blyowE – 'quedar'	how – 'cómo'
y – yah – 'sí'	guyE – 'Buenos días'	hey – 'él'

Una consonante nasal en frisón tiende a nasalizar las vocales con las cuales está en contacto en la misma palabra. En la secuencia "vocal más /n/ más consonante" (incluimos las paravocales entre las consonantes), la vocal se nasaliza y la /n/ llega a ser en extremo lene o queda reemplazada fonéticamente por /h/, a menos que la consonante siguiente a /n/ sea una paravocal, en cuyo caso la /n/ está reemplazada por /∅/. Así, la palabra 'España' puede manifestarse bien como [s p $\tilde{e}^{n}$ y E] o como [s p $\tilde{e}$ y E]. Fonéticamente, sin embargo, se debe considerar que /n/ está presente para mantener la simetría del sistema, el cual no presenta un patrón de fonemas vocálicos nasalizados. El hecho de presentarse claramente la /n/ en [m $\tilde{e}$ n y E] – 'lunes' parece indicar la necesidad de simbolizaciones fonémicas respectivamente de /spenyE/ y /mennyE/. La palabra [k $\tilde{o}$ h s t] – 'arte', por lo tanto, se escribiría fonéticamente /könst/.

El fonema /l/ tiene dos fonos: en posición final en la sílaba muestra una ligera velarización [ʟ], parecida al sonido final en la palabra inglesa 'wall', y en posición inicial en la sílaba es parecido al fonema /l/ del español (y del inglés) que está en la misma posición.

El símbolo /r/ representa un vibrante sencillo entre vocales, y en posición inicial y final en la palabra alterna libremente entre un vibrante sencillo y un vibrante múltiple.

Aunque en este trabajo no se pretende abarcar una taxonimia exhaustiva de los grupos consonánticos del frisón, haremos breve mención de ellos. Once de los 16 fonemas consonánticos aparecen como el primer elemento de grupos iniciales en la sílaba. Aparentemente las tres paravocales /h, w, y/ no constituyen el primer elemento de grupos consonánticos, como tampoco se ha encontrado ejemplos con /v/ o /r/:

b – bl,br, bw, by, bly

d – dr, dv, dy
f – fl, fr, fw, fy
g – gr, gw, gy
k – kl, kn, kr, kv, ky
l – ly
m – mw
n – nn, ny
p – pl, pr, py, ps
s – sk, sl, sn, sp, sv, smw, skw, sky, str, sty, stry
t – tr, ts, tv, ty, tsy

Con más datos es de esperarse que esta lista crezca. El segundo elemento más común en los grupos de dos es /y/, y /y/ también aparece como el tercer elemento de grupos de tres consonantes. La consonante inicial que parece combinarse con más facilidad con otras consonantes es /s/.

III. Acento de intensidad: El acento de intensidad en frisón no parece ser fonémico, aunque nos sentiríamos más seguros si se pudiera encontrar algún par mínimo de enunciados que estableciera /+/, como fonémico. Palabras como /freyheyt/ – 'libertad', que parece ser una forma compuesta, y /bEhIŋyE/ – 'colgar papel (en la pared)', que tiene el prefijo /bE–/ (/hIŋyE/ – 'colgar'), hacen sospechar que sí existe /+/, así como ciertos pares submínimos como:

/En ähmEr/ – 'un balde'
/E nämE/ – 'un nombre'

Aun con los datos que tenemos, y sin determinar que /+/ es un fonema por separado, hay ciertos indicios de que el acento de intensidad es predecible y que por lo tanto "E" no es un fonema:

1. En cualquier palabra que contiene una vocal más paravocal, la sílaba que las contiene lleva el acento, no importa el número de sílabas en la palabra:

dIktätúhr – 'dictadura'
(nay) úhdEndErE – '(hacia) abajo'

2. En palabras de dos sílabas, en las cuales en ninguna de las dos sílabas, o en las dos sílabas, hay una paravocal, el acento cae sobre la primera sílaba:

skílhE - nombre de una isla frisona
tárvE – 'trigo'
fréyhèyt – 'libertad'
ríkdäm – 'riqueza'

(El patrón acentual de estas últimas palabras sugiere la existencia de /+/).

3. En palabras de tres sílabas, si en ninguna de ellas hay una vocal seguida de una paravocal, de nuevo cae el acento sobre la primera sílaba:

bélgizE – 'belga'
éŋkElE – 'algunos'

En palabras de tres sílabas, no se han encontrado ejemplos de paravocales en cada sílaba, pero al manifestarse en dos sílabas, parece ser siempre que son las dos primeras. En

estos casos, la primera sílaba tiene el acento más fuerte:

(Ik) ā́hrbäydzE – '(Yo) trabajo'

náhrvIgEn – 'Noruega'

4. En palabras no compuestas de cuatro sílabas, el patrón parece ser ___´ ___ ___ ___´ :

kū́kElEkū́ – 'quiquiriquí'

psíyxowlowxíy – 'sicología'

Las palabras que comienzan con un prefijo siguen estos patrones en su raíz – radical:

bEhĺŋyE - 'colgar papel (en la pared)'

unsyö́x – 'feo'

umbEgríplEkE – ' incomprensible'

gEvísE – 'estado de estar conciente'

Si el prefijo contiene una paravocal, el acento más fuerte precae sobre el prefijo:

íhnvenEr – 'ciudadano'

La primera sílaba de la raíz–radical en este último ejemplo conserva su acento no fonémico con menos intensidad que en la sílaba que contiene una vocal más paravocal.

Conclusión:

De acuerdo con este análisis, en el frisón hay 28 fonemas segmentales: 9 vocales y 19 consonantes. La sílaba frisona contiene un núcleo que a la vez contiene una de las siguientes: V, V más /y/, V más /h/, o V más /w/. La vocal sencilla puede estar acentuada o no, pero para este último caso se ha usado el símbolo no fonémico "E" por falta de pruebas que establezcan el estado fonémico de alguna juntura interna abierta. Si ésta no se puede comprobar, no queda más alternativa que considerar que "E" es un fonema.

Cuatro Estudios Críticos

Lic. Doroty Stark de Valverde.

THE JAZZ AGE

Lic. Dorothy Stark de Valverde

The 1920's presents a phenomenon in American history, something like an abortive child which was conceived by stolid, respectable parents in the pre–war years and which was ultimately smothered in the gloomy depression of the thirties.

The end of World War I marked the culmination of wartime hardships, the return of two million soldiers from Europe with a radically altered moral code, the birth of a new freedom for women through suffrage, new professions, and the philosophy of Freud. The booming automobile industry, disillusion over the "ideals" of World War I, and Prohibition all united to foment a revolution in manners and morals. One of the most striking aspects of the revolution was the pervasive obsession with sex. Everyone talked about it, if they were not actually experimenting with it. A popular theme was that both sexes, married or not, should be free to indulge their desires. This represented a tremendous variation in the role of women, and the new morality was generally considered to be "a single standard, and that a low one." 1

Besides the changes in the relation between sexes, manners in general had been turned upside down. There were no obeyed standards of conduct in polite society. All subjects, words, scenes, and antics were permitted. Indeed, there existed a general desire to shock one's companions, until finally there was nothing shocking left to say. The ultimate end of this revolution in manners was a social vacuum in which old standards had been rejected but nothing constructive had replaced them. 2

The leader of America as of March 4, 1921, was a man who had two great assets. With his superbly handsome, dignified face and figure, he looked as a president of the United States should. Second, he was the friendliest man who had ever occupied the Presidency. Until his death of apoplexy in August, 1923, Warren G. Harding was one of America's most popular presidents. At his funeral a Bishop noted that the sentence which

summed up Harding best was: "He taught us the power of brotherliness." 3 The fact that his intelligence was so limited, his will–power so very weak, and his choice of friends so disasterous would only become apparent after his death. 4

Harding inaugurated the return to "normalcy" which the nation welcomed as a refreshing change from the stern severity of his predecessor, Woodrow Wilson. No one questioned Harding's appointment of his Marion, Ohio friends to high government posts. The President only wanted to "do right" by his friends, regardless of whether they were incompetent crooks or not. Even Harding's father remarked that he was glad his son had not been born a girl or he would always have been in the "family way"; he could never say "no." 5

After Harding's death, Americans were rather surprised––not shocked–– by the memoirs of his lover which depicted their tawdry affair in cheap hotel rooms, and even pinpointed the Senate Office Building as the place where their illegitimate child had been conceived. This revelation brought out unsavory stories, including one that Harding had been poisoned by his jealous wife. The spectacular scandals of graft and corruption involving Harding's administration broke in 1924. The harshest condemnation on the part of the press and the public spilled out, not against those who had defrauded the nation, but against those who had forced the issue out into public view. The Democratic Senators who had revealed the facts were termed "scandal–mongers", "mud–gunners", "assassins of character", and "poison–tongued" partisans by some of America's leading papers. 6

Thus the acts of overt pillage and corruption of the national leaders were viewed with indifference by the American people who were passive about public morals, whilw they questioned their own private codes. The undisputed new God was money. The American economy boomed as it had never done before. While the war had impoverished Europe, America had emerged undamaged to find itself economic master of the world. Rich natural resources, manpower, capital, and perfection of mass production to a new peak of efficiency converted America into a giant factory. Automobiles, radios, cigarettes, telephones, rayon, cosmetics, and electrical appliances were at the head of the list of major products. While the new wealth was not evenly distributed and the farmers, cotton and leather workers, and miners certainly received a tiny slice of the cake, in general, full employment and rising wages benefitted the mass of Americans.Business became synonymous with success and was regarded with great veneration. Unsurprisingly, there was a widespread movement to nominate Henry Ford as President in 1924. 7

Calvin Coolidge became President upon Harding's death and occupied the White House for five years. "Silent Cal" was something of an anomaly of the age, but his contrast with prevailing mores serves to illustrate the abrupt juxtaposition of clashing ideals within a rapidly changing society. Coolidge was a close–mouthed New Englander who was as cautious, reticent, frugal, and moral as his predecessor had been the opposite. America loved him and his Presbyterian creed, as a family of outlaws might dote upon a rigidly righteous offspring.

The part of Coolidge's character which so perfectly meshed with the spirit of the time was his New World Calvinistic esteem for wealth. For him wealth was the fruit of one's labor and frugality, and as such deserving of all due respect. While all Americans had not necessarily followed the same theological deductions, they generally shared Coolidge's conclusions. Accordingly, his policies of low corporation taxes, a minimun of government intervention in business, a harsh policy of collection of European war debts, and frugality in government expenditure all met with a warm reception from most Americans. The questions of whether big business policies were really good for America or only for big business, and whether the government should assure the distribution of the new wealth directly or through national services––schools, hospitals, roads–– were questions that were ignored by all but a handful of Democratic and Progressive leaders. 8

Prohibition added the final Bacchic touch to this era. Prohibition was a "sleeper"

which a highly organized force of church and temperance groups managed to push through without too much thought being given to it. These groups began their crusade during the war when America was gripped by fear, sacrifice, and idealism. The Eighteenth Amendment was first presented to Congress in 1917, and amidst the general war preoccupation, it was approved; by 1920 all the States had ratified it. It had appeared a Spartan measure, at the same time anti–German since most big brewers were of German descent. No one seemed to have taken time to contemplate the difficulty of restricting the importation of liquor in a country which had thousands of miles of frontiers. Also, there existed such sources as the druggist who could sell liquor for medicinal purposes, industrial alcohol which could be made drinkable by adept chemists, and the illicit stills which could be operated for home or mass consumption. 9

The post–war Americans, free from old religious and sexual inhibitions, their minds filled with the new music and new ideals, and their pockets full of dollar bills, naturally developed a thrist for a good stiff drink. Smuggled and homemade liquor materialized to meet the need, and shortly speak–easys opened to provide a suitable environment of adventure and abandon in which to drink and dance.

This overwhelming flood of outlaw liquor constituted a huge enterprise, and since it existed outside the law, gangsters accordingly dominated it and ran the business by their own rules. Competition flourished until Darwin's law of the jungle became operative with savage results. Al Capone, in his armor–plated car with bullet proof windows, became the king of the Chicago area where gangland rivalries took a toll of over five hundred murders during the twenties. Besides the high mortality rate for hoodlums, Prohibition also ushered in an era of widespread corruption among government officials, until the underworld dominion challenged the established government. The general public, while not directly aligned with the gang world, preferred to remain indifferent to the reality that they were the clients whose purchases placed hundreds of millions of dollars in the hands of thieves, extorsionists, and murderers. 10

In this euphoric epoch of revolutions in morals and manners, mediocrity and corruption in government, a cynical indifference to nation wide law breaking, and slavish devotion to materialistic goals, Americans looked for entertainment, and passed rapidly from one fad to another. The triviality of these mass fetishes and their short duration are singulary indicative of the prevailing intellectual climate. Like Roman circuses, the new crazes of Mah Jong, cross–word puzzles, dancing, and flag pole sitting contests all enthralled Americans. Second only to fads was the national pastime of following stories in the press which were often sordid, usually dramatic and inconsequential scandals, murders, trials, movie stars' antics, sports events, and disasters. The reading public demanded and got front page sensationalism about trivial matters, leaving significant national and world events for the back page. 11

There was a "civilized minority" of highbrows who deplored the American scene. They were disillusioned with the Peace of Versailles and "doubted the divinity of Henry Ford and Calvin Coolidge." In books like *Main Street* and *Babbit* Sinclair Lewis revealed an America filled with cultural poverty, hypocrisy, and prejudices. The leader of the critics was H. L. Mencken, editor of the *American Mercury*, from which position he mercilessly satirized America. A typical retort of this iconoclast when angrily questioned "Why do you live in America if there's so much wrong with it? " was "Why do men go to zoos? " 12

F. Scott Fitzgerald wrote vividly describing "The Jazz Age".

> It was an age of miracles, it was an age of art, it was an age of excess, and it was an age of satire... This was the generation whose girls dramatized themselves as flappers, the generation that corrupted its elders and eventually overreached itself less through lack of morals than through lack of taste... A whole race going

> hedonistic, deciding on pleasure... By 1926 the universal preocupation with sex had become a nuisance.... The gay elements of society flowed towards... Antibes——by 1929 at the most gorgeous paradise for swimmers on the Mediterranean no one swam any more... Americans were content to discuss each other in the bar... Americans were getting soft. 13

The themes of Fizgerald's novels were a clear reflection of the era. *This Side of Paradise*, (1920) his first novel and a best seller, revealed the institutions of men as a "contemptible farce of the futile and the absurd; the world of finance, the army, and finally, the world of business are successfully and casually exposed as completely without dignity or point." 14 The last page of the work described the "new generation dedicatd more than the last to the fear of poverty and the worship of success; grown up to find all Gods dead, all wars fought, all faiths in man shaken." 15

His next work, *The Beautiful and the Damned* (1923), traced the lives of a couple who plunged selfishly and hedonistically forward to their ultimate degradation. The epigraph of the book, "The victor belongs to the spoils", was only too applicable to many a man in the twenties, and it could even be applied to Fitzgerald himself. 16

The "Roaring Twenties" lend themselves to satire, to intriquing research, and to nostalgia. It was a memorable period for the abandon, wealth, and euphoria on a level which America had never before experienced. Political scientists, psychologists, and economists have all probed the period in depth from their specialized points of view. The two keys to an understanding of the era are materialism and triviality.

FOOTNOTES

1. Frederick Lewis Allen, *Only Yesterday* New York: Bantam, (1959), p. 82.

2. Samuel Eliot Morison, *The Oxford History of the American Pepple* (3 vols.: New York: Mentor, 1972), III, pp. 243–246.

3. Allen, *Only Yesterday*, p. 95.

4. Morison, *Oxford History*, pp. 260–262.

5. Allen, *Only Yesterday*, p. 88.

6. *Ibid.*, p. 109.

   Morison, *Oxford History*, pp. 276–277.

   Henry Steele Commager and Allan Nevins, *A Pocket History of the United States* (New York: Washington Square Press, 1969), p. 410.

   Eric F. Goldman, *Rendezvous With Destiny*, (New York: Vintage Book, 1960), p. 244.

7. *Ibid.*, p. 412

   Allen, *Only Yesterday*, pp. 118–125.

8. *Ibid.*, p. 128.
   Morison, *Oxford History*, p. 277–278.

   Commager, *History*, p. 408.

9. Morison, *Oxford History*, pp. 238–240.

10. Allen, *Only Yesterday*, p. 186.

11. *Ibid.*, p. 137.

12. *Ibid.*, p. 168.
    Morison, *Oxford History*, p. 247.
    Goldman, *Rendezvous*, p. 245.

13. Edmund Wilson, ed., *The Crack Up.* (New York: New Directions Paperback, 1956), pp. 14–21.

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15. F. Scott Fitzgerald, *This Side of Paradise* (New York: Scribner's & Sons, 1970), p. 282.

16. Andrew Turnbull, *Scott Fitzgerald* (New York: Ballantine Books, 1962), p. 135.

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THE AMERICAN DREAM

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"The American dream" is a phrase which has appeared in songs, plays, and literature. Among Americans, at least, the phrase is employed and comprehended. It is an abstract concept which has significance because people understand its meaning, believe in its existence, and work to obtain it. Lionel Trilling remarked that "ours is the only nation that prides itself upon a dream and gives its name to one, 'the American dream.' " 1

Certainly the dream is not static and changes in each period and with succeeding generations. The dreams of the Pilgrims and Puritans differed radically from those of the nineteenth century frontiersmen or the twentieth century suburbanites. Even within a given era, the dream has meant things to different people. Therefore, a single definition cannot be universally applicable, although the dream could be explained as the goal of obtaining a vast economic and spiritual fulfillment. According to the epoch and the individual, the emphasis of the dream will shift between the material–physical and spiritual objectives of life.

An explanation for the origin of the American dream is that the earliest Americans were convinced that they and their country were unique in the world. This feeling of superiority blossomed and spread until it became the basis of a national myth, which can be referred to as the American Adam Myth in the Garden of Eden. This myth that Americans were the new Adams and America the new Eden had a powerful influence upon literature, politics, and history. The myth is one of the definitive factors in the American dream, and an element which is essential to the undersatanding of most American literature. 2

The American Adam myth dates back to early colonial times when the Puritans fled the persecution of James I and Charles I to arrive at the new Canaan. While there were

also immigrants of diverse faiths, Puritan "endurance and their eventual success made them... the fathers of the American way of life." 3 The Puritans came to America due to religious persecution and "from the very beginning (they)... showed some of the traits which they have passed on into the American character. Theirs was God's own country because they were God's chosen people." Their fierce individualism was essential to them for success and salvation. If necessity demanded group cooperation for survial, they complied but "no man, but only God, they recognized as their superior; tribulation they accepted, yet not in any spirit of complacency but in the certainty that the need for tribulation had to be overcome." 4

The Puritans were the new Adams in the Garden of Eden. As early as 1657 this idea was aluded to in Thomas Morton's book, *The English Canaan*, satirizing the extreme aspects of the Puritans. Certainly for the Puritans "the land that they occupied was *tabula rasa* on which they could write what they willed, without hindrance from the forms and traditions of an older society." 5

Their primary goal of salvation dictated that the Puritans relegate or justify every act in relation to their faith. A man was expected to labor in the vineyards of the Lord, and to show the fruits of his labor. The Puritan, then, did not work merely to survive or become rich; he labored because God had blessed work and ordained it. A Christian had to be a good steward with his wealth, and so he lived frugally and reinvested his profits to double and triple them. The ethic of the dignity of labor and the worthiness of the fruits of one's labor can be seen as originating with early American Puritans. 6

Another aspect of the Puritan mentality which was shared by many other settlers, was the conviction of self–frighteousness. To an extent this was a by–product of extreme individuality, but the religious origin of their righteousness should not be minimized since it served as a justification for extreme measures, even to the execution of one's fellow men, as in the New England witch trials. The trials really marked the decline of the power of the New England Puritans like Cotton Mather, and after 1693 there was an increasing influence from Enlightenment ideas, with their emphasis upon the rationality and purposefulness of the laws of the universe. John Locke's "words were everywhere and read by everyone, his influence upon the deistic thinking of American readers such as Jefferson and Franklin" was surely "greater than of any other thinker." 7 In 1688 Locke wrote that all men are in a "state of perfect freedom to order their actions... within the bounds of the law of nature." All men are born in a state of equality in nature. Mens' reason, rather than sacred revelation, must determine their acts and relationships. For mutual protection. Locke said that men form a compact by which they relinquish some freeom for the good of the community, but when rulers act "contrary to their trust... they forfeit the power people had put into their hands." 8

Locke's concept that men are born free and equal and must be governed by the natural law of reason gave a powerful justification to the individuality and superiority which most American settlers already cherished for religious reasons or on account of their own dauntless struggles to survive. At the same time the social compact idea fitted the American mentality perfectly; in fact, though not in law, most of the colonists had long governed their communities due to their great distance from England and the "salutary neglect" which had prevailed during Walpole's and Pitt's governments. In most areas, circumstances had demanded that the communities determine their laws and objectives and work harmoniously together. While the crown colonies were headed by royal governors, often their salaries depended upon the settlers' approval of their rule. 9 The fact that America was a virgin continent lacking any political tradition further strengthened the theory that free equal men could create a here–to–for non–existent, just and reasonable government in accordance with natural, universal laws.

Jean Jacques Rousseau was also influential in American thought. In his *Social Contract* (1761), Locke's main propositions were utilized. But while Locke regarded the

primitive man as defenseless and in need of protection, Rousseau converted the lowly man into a virtuous and noble savage whom civilization had degraded from his original free state. Rosseau wrote that "Man is born free and everywhere he is in chains." The logical corollary was that it was necessary for man to break the chains to inaugurate a free society of equals. 10 For the American colonists, Rosseau's view of the noble savage was adapted to apply not to the American Indians, but to the expatriate European pioneer and frontiersman who existed in communion with nature. Both Rousseau's and Locke's justifications of rebellion against an unjust ruler were utilized in the American Revolution.

The primary American exponent of the new age of reason was Benjamin Franklin, born in 1706 in Boston, a Puritan soapmaker's son. From an apprentice printer he rose to edit the popular *Poor Richard's Almanac*, published other magazines, made several inventions, helped found a university, assisted in writing the Declaration of Independence and the Constitution. His widely read maxims for success were a combination of common sense, perseverance, frugality and morality: God helps those who help themselves. A penny saved is a penny earned. Early to bed and early to rise make a man healthy, wealthy and wise. His ideas and outstanding career made him a model for Americans, and presented a unique combination of the practical, positive, humane age of reason, yoked to a Puritan impulse to work hard, excel and attain monetary success. 11

Thomas Jefferson, the principal author of the Declaration of Independence, a leader of the American Revolution, and third President, synthesized and popularized beliefs which further molded national opinion toward the acceptance of the Adam myth. He had absolute faith in the common man close to nature: "Those who labor in the earth are the chosen people of God, if ever he had a chosen people." He believed that the people were "the safest and most virtuous" depository of power. "Our governments will remain virtuous for many centuries as long as they remain chiefly agricultural:...When they get piled upon one another in large cities, as in Europe, they will become corrupt as in Europe." 12

Thus the American myth was expanded from the days of the rugged, righteous Puritans up to the days of independence. The American was a free natural man, in communion with nature and removed from corrupting influences. His purity and wisdom guaranteed the rightness of his acts. 13

With the 1828 election of President Andrew Jackson, the self–made man born in a log cabin, American democracy became immortalized in a philosophy which endured long beyond the tenets on which it was founded, Jacksonian Democracy was an extension of Jeffersonian Democracy; the theory of the latter became tangible reality when all free American males had the vote and could buy land at $ 1.25 an acre. 14 Old class distinctions became temporarily irrelevant, not because of theoretical aversion to class, but because class membership was in a state of flux. Americans loved Jackson because he *had been* poor but was so *no longer*. While Jackson's six Presidential predecessors had belonged to an aristocratic dynasty, after him it was difficult to become President if one had *not* been born in a log cabin. 15 This tremendous class mobility endured through the gold rush and until the frontier was closed after the Civil War. A result of these fluctuating classes and of fortunes won and lost overnight, was a minimizing of class differences and a lack of aristocratic cultural tradition.

Thus the election of Jackson marked the victory of democracy and the common man. This, preceded by the Puritan ethic, the philosophy of the Enlightenment, the victorious Revolution, and Jefferson's republican ideas, had all encouraged Americans to embrace the Adam myth. While European romantic poets dreamed about a superman who attained total fulfillment, liberty, and purity, Americans were certain that this ideal could be achieved by every American. The historian George Bancroft perceived the Jackson triumph as a purifying death blow to European culture in America. He saw Washington as a "child of nature" who had begun the American war for liberation, but

not until Jackson had Americans had time to settle in the virgin interior of America in total union with nature. Jackson, another "child of nature" for Bancroft, was a self–made man who was virtually unlettered and untainted by European thought and tradition, for which reasons he was selected as the leader image of America. 16

In summary, the American Adam and Garden of Eden theory was grounded upon the following concepts:

1) American political freedom had destroyed the pernicious, corrupt, European traditions and institutions, permitting the American to begin anew, as a new–born, pure man.

2) The American democratic system had established a harmonious, benevolent society––a new Garden of Eden–– in which Americans could flourish.

3) The "limitless" expanse of virgin territory, as opposed to the confining, degrading, urban life, provided the essential fountain of spiritual strength through union with nature to nourish the new Adam. 17

FOOTNOTES

1. Lionel Trilling, "F. Scott Fitzgerald", in *F. Scott Fitzgerald–Critical Essays* ed. Arthur Mizener (New York: Prentice – Hall, Inc., 1963), p. 240.

2. R. W. B. Lewis, *The American Dream* (Chicago: University of Chicago Press, 1955), p. 165.

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4. John Spencer Bassett, *A Short History of the United States* (New York: Macmillan Company, 1939), p. 149.

   Nye, *The Birth of the U.S.A.*, p. 39.

5. *Ibid.*, p. 48.

6. *Ibid.* p. 41.

7. *Ibid.*, pp. 51,149.

8. Thomas C. Mendenhall, et, al., *The Quest for a Principle of Authority in Europe – 1715 – Present.* (New York: Henry Holt & Co., 1957), pp. 10–11.

9. Nye, *The Birth of the U.S.A.*, p. 52.

10. Mendenhall, *The Quest*, p. 51.

11. Nye, *The Birth of the U.S.A.*, p. 151.

    Ferdinand Shevill, *A History of Europe* (New York: Harcourt, Brace & Co., 1954), p. 374.

12. Richard Hofstadter, *The American Political Tradition*, (New York: Vintage, 1948), p. 27.

    Samuel Eliot Morison, *The Oxford History of the American People.* (3 vols.: New York: Mentor, 1972), II, p. 47.

13. David W. Noble, *Historians Against History* (Minneapolis: Minnesota Paperbacks, 1965), pp. 5–7.

    Marius Bewley, "Scott Fitzgerald's Criticism of America", Mizener, ed., p. 264.

14. Henry Steele Commager and Allan Nevins, *A Pocket History of the United States* (New York: Washington Square Press, 1969), p. 178.

15. Morison, *Oxford History*, II, p. 163.

16. Lewis, *The American Adam*, p. 165.

    David W. Noble, *The Eternal Adam and the New World Garden* (New York: George Braziller, 1968), p. 8.

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THE ADAM MYTH IN NORTH AMERICAN LITERATURE AND HISTORY

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The Adam myth has been at the heart of a considerable part of American literature. Some authors have defended and glorified it. Many authors have confronted it as the prevailing myth in American society, examined and rejected it as a guide to live by. Although the myth can be traced exhaustively through the works of dozens of authors, here I shall review only a brief representative selection.

James Fenimore Cooper and Mark Twain both dealt with the subject of the innocent, free man. Cooper depicted his Deerslayer or Leatherstocking as an American Adam, but concluded that he was an anomaly, if not a misfit, who was neither of the savage, superstitious Indian world nor of the sophisticated, corrupted world of the European settlers. 1

Twain also grappled with the illusion of the American Adam and initially believed that the American in union with nature and technology had transcended the decadent European medieval mentality. In his later works, however, Twain concluded that technology could not purify the evil in men's hearts; rather, it had polluted and defiled the inherent purity and freedom of nature. In *A Connecticut Yankee in King Arthur's Court*, the Yankee won his technological battle at a terrible cost of lives. His victory was hollow and his end insanity. In Twain's unpublished notebooks, he continued the adventures of Huck Finn but despaired of the survival of the innocent nature boy in modern America. Consequently, Twain wrote that Huck finally became mad. 2

Henry James explored the differences between the cultures of the Old and New World and tested the assumption that the European lived within the frustrating confines of a historical community, while the American experienced a relatively harmonious existence with great freedom. James' extremely analytical and psychological approach gave his conclusion considerable weight. His many years of self–imposed exile in Europe permitted him to understand the European culture and its defects. From this European

view point he concluded that American life and man were, if not perfect, at least much superior to the European in simplicity, morality and sincerity. 3

A second–rate writer, Horatio Alger (died 1899), is worthy of note because of his pervasive influence on the economic thought of American businessmen and of millions of young readers. He wrote over a hundred books which sold more than twenty million copies and were the delight of America boys between the Civil War and World War I. His theme was the rise of poor, decent, hardworking boys from rags to riches. The principles of economic procedure were those of Franklin's Poor Richard—— God helps those who help themselves, and the way to wealth is through industry and frugality. A careful study of Alger's books, however, reveals that the innocent boys' wealth ultimately turned on the beneficence of some rich, old invalid, an inheritance from a distant relative, or the luck of finding some old papers which were valuable stocks.

Most readers did not perceive the basic fallacy involved (hard word did *not* produce fortunes: luck or gratitude did) but simply assimilated the moral that there was a direct relation between work and wealth. Through his books Horatio Alger disseminated the concepts of the eighteenth century to a vast public in industrialized America. He modernized the Garden of Eden myth to read that the pure, diligent Adam would inevitably be rewarded with a position of wealth in society. 4

Romanticism had been displaced by Social Darwinism as expounded by Herbert Spencer in the late nineteenth and early twentieth century. The Naturalist writers viewed the Adam myth within the context of the prevailing philosophy. The disharmonies of the competitive capitalist world purified the surviving nation and raised it to its most progressive level. Although this reasoning did not conclude that America had a position of perfection, most Americans believed that they, of all people, were closest to the goal, being free of all vestiges of feudal society and closest to nature. The innocence of the American Adam, therefore, was not seen as discarded, but as merely temporarily postponed. 5

Frank Norris accepted the new social philosophy and his books present lessons about people torn by their environmental and inherited traits as they struggle to survive and strengthen themselves. Norris did not agree that meaningless determinism dominated natural law; rather, he felt that God was benevolent, nature was productive, and man would be redeemed. In *The Octopus* Norris makes his ultimate affirmation that industrial progress is a part of the great design of dynamic nature, and although the effect on the individual may appear devasting and pointless, it will ultimately save and redeem mankind. 6

Stephen Crane differed from Norris in that he rejected the concept of progress through the survival of the fittest. He also rejected the concept of the American Adam and Garden of Eden. What remained for Crane was man existing in space in which nothing was possible: life had no meaning. Within this meaninglessness man must resist surrender to despair and continue to battle against the impersonal universe with strength, courage, and dignity even though there would be no reward. In Crane's stories of the city, the abortive products of technology were not the villains, as they were for Twain, for Crane saw the urban society as symbolic of the cruelty of nature. The natural state of man in the cities or in war, as in *The Red Badge of Courage*, was a state of perpetual battle. There was no peaceful Eden nor pure Adam for Crane. 7

Theodore Dreiser's philosophy was something of a compromise between those of Norris and Crane. While Crane's keystone was the indifference of nature and the irrelevance of society, for Norris the individual had to transcend society to accept the laws of nature which led to progress and perfection. But Dreiser found disharmony to be the product of society ant the fallible individual. Despite this, he encountered innocence surviving in the American Eve, women such as Carrie in *Sister Carrie*, who was a primitive remnant of the Eden which no longer existed in this world, a world that was returning to

its previous perfection but doing so in an exceedingly slow manner. 8

Between 1900 and the conclusion of World War I in 1918, Americans tended to reject the outlook of both realists and naturalists. The philosophy which caught up many influential Americans was progressivism. The progressivists anticipated a new millenium in which the Garden of Eden would be restored to America. Charles Beard, a historian, was one of the most adept and persuasive proponents of this philosophy which gained enthusiastic adherents until the War deflated the hopes of most of them. 9

Beard, like many of his literary and historical predecessors, focused upon the problem of the American dream. He asserted that it had been a reality which was destroyed in the incubation period of American history, when the U.S. Constitution was given the seeds of aristocratic English capitalism. Capitalism represented a disharmonious element in America, but industrialism differed from it in that it was a natural, productive force producing an organic union between man and nature. Industrialism operated as a destructive force upon man–made institutions and selfish interests, such as those of the Wall Street capitalists. Ultimately, however, he foresaw that a timeless harmony would be established. 10

When World War I broke out, Beard and other Progressives hailed it as the opportunity for Americans to participate in a holy crusade to crush the feudal dregs by the force of liberating industrialism. In the aftermath of the war, Beard reassessed his theories: industrialism had proven inadequate to eradicate selfishness and greed at home and abroad. But man was still basically good unless corrupted by institutions. America's purification would be possible through a stringent policy of isolation from the twisted traditions of the old world. 11

Beard had qualified and redefined his shaken faith although few of his contemporaries could do likewise. In literature Ernest Hemingway appeared as one of the disillusioned members of the "Lost Generation" who had once thrilled to the ideals of Theodore Roosevelt and Woodrow Wilson. Hemingway's theme, often repeated, concerned the role of the innocent man in a world of evil. His Adam functioned in a Crane–like environment; the world was adrift, lacking direction or meaning. But Hemingway's hero, unlike Crane's, was not a crusader to battle for other people's lost causes. Nick Adams, like other Hemingway characters, was a true American Adam, descendent of his Puritan ancestors in that he hated historical tradition. He refused to fight to impose values and meaning on an indifferent universe. While Nick lived bereft of Eden, nevertheless he sustained his essential innocence, largely through inaction and non–involvement. Hemingway believed that innocence could never be fulfilled within society, and only the lone individual could attain personal integrity. A by–product of the existence of such a Hemingway hero was often impotence and suffering, with ever–prevailing death stalking men at every turn in life. 12

FOOTNOTES

1. Robert E. Spiller, "James Finimore Cooper", in *Six American Novelists of the 19th Century*, ed. Richard Foster (Minneapolis: University of Minnesota Press, 1968), pp. 16–37.

2. Lewis Leary, "Mark Twain", Foster, ed., pp. 139–154.

   David W. Noble, *The Eternal Adam and the New World Garden* (New York: George Braziller, 1968), p. 76.

3. Leon Edel, "Henry James", Foster, ed., pp. 223–224.

   Noble, *The Eternal Adam*, p. 81.

   Vernon Louis Parrington, *The Beginnings of Critical Realism in America* (New York: Harcourt, Brace & Co., 1930), p. 240.

4. Frederick Lewis Allen, *The Big Change* (New York: Bantam Books, 1961), pp. 56, 61.

5. Parrington, *Critical Realism*, 316–318.

6. *Ibid.*, pp. 329–333.

7. Henry S. Canby, et al., ed. *Literary History of the United States* (New York: Macmillan, 1948), Vol. II, p. 102.

   Sergio Perosa, *The Art of F. Scott Fitzgerald* (Ann Arbor: University of Michigan Press, 1965), p. 191.

8. Noble, *The Eternal Adam*, p. 124.

   Parrington, *Critical Realism*, pp. 354–357.

9. Canby, *Literary History*, pp. 1107–1109.

   David W. Noble, *Historians Against History* (Minneapolis: Minnesota Paperbacks, 1965), pp. 66–69.

10. *Ibid.*, pp. 68–69.

11. Richard Hofstadter, *The American Political Tradition* (New York: Vintage, 1948), p. 73.

    Parrington, Critical Realism, pp. 340–343.

    Noble, *Historians*, p. 21.

12. Noble, *Eternal Adam*, p. 152.

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AN ANALYSIS OF "THE KILLERS" AND THE WORK OF ERNEST HEMINGWAY

Lic. Dorothy Stark de Valverde

The purpose of this paper is twofold; it is a study of "The Killers" by Ernest Hemingway, which affords a general view of Hemingway's work and his unique contribution to literature. His work vividly exemplifies writing with a distinct, intrinsic theme and style, two of the most significant components in fiction. "The Killers" is one of his multiple short stories, not the best nor most representative, but one which lends itself to intensive dissection owing to its compactness.

Critics conclude that the short story is made up of certain basic parts which can be separately classified and adjudged in order to provide an objective view of the work, and permit a criticism of its weaknesses and merits. These categories are the setting, the point of view, symbols, style, characters, plot or conflict, and theme. Accordingly, these aspects will be investigated to obtain an understanding of "The Killers" and the author's purpose.

Ernest Hemingway, the man, is difficult to separate from his work. His life began in 1899 in Oak Park, Illinois, where he formed a part of a middle class family. When only eighteen he was injured in Italy while serving as an ambulance driver during World War I. The rest of his life was a continual pursuit of adventure, danger, and challenges to his courage, physical and athletic skill ——a constant test of his manhood. Fishing, hunting, fighting, boxing and war were his favorite sports. Hemingway stands alone among the major American writers who combined the active and writing lives. 1 In 1961, after he received the Nobel Prize, and had not published anything for almost ten years, he committed suicide by shooting himself. 2

The vividness of Hemingway's life, a hard–loving (married four times),

hard–fighting, and hard–playing man, did not fail to excite the interest of the public, and his escapades were faithfully published over a period of twenty–five years. 3 From so much publicity, a public image appeared which was inevitably likened to the heroes of his novels, 4 and, undoubtedly, a considerable amount of his stories was based upon personal experience. 5 It is also obvious that his philosophy of life was basically the same as that with which he endowed his heroes.

Hemingway's work includes short stories, novels and some negligible poetry. His principal collections of short stories are *In Our Time* (1924), *Men Without Women* (1927), *The Fifth Column and the First Forty–Nine Stories* (1938), and *Winner Take Nothing* (1933). 6 This author's first important novel was *The Sun Also Rises* (1926), and his most successful later novels were *A Farewell to Arms* (1929), *For Whom the Bell Tolls* (1940), and *The Old Man and the Sea* (1952). 7 His acknowledged masters were Stephen Crane and Mark Twain. 8

Hemingway was the literary spokesman for his generation, the "Lost Generation", as it was called. This post–World War I generation was filled with disillusion with their fathers' ideals, and searched for new meaning in a meaningless world. 9 Hemingway has been possibly the most influential writer of English prose in this century. Certainly he has been imitated or assimilated by innumerable authors wherever he has been read. 10

In this short story, "The Killers" we can observe some of Hemingway's basic traits which have characterized his writing. The setting is in a small town, perhaps somewhere in the Mid–West, since there is a reference to Chicago. There is no indication that the characters or the action are in any way influenced by, or unique to the setting. The setting, then, could be anywhere. We know this story was written during the twenties, the period of Prohibition when gangsters and gang wars were rampant. The time has some significance, then, although the place does not.

The point of view is very fitting for such a dramatic story. The view is, of course, almost completely objective. We are not permitted to be titillated with the panic or fear within the minds of Nick, George, Sam or Ole, nor shocked by the callous, cold, indifferent reflections of the killers. Hemingway is showing us these emotions the hard way. The point of view as used here is a compliment to Hemingway's whole style, characterized partly by understatement contrasted with violent action, producing a heavy dose of irony. 11

To extract the conflict it is necessary to examine the characters. The two killers reveal themselves through their talk, actions and dress. From the dialogue we see they are arrogant and insulting but do not become angry, nervous nor seem to enjoy their position of power. They display practically no emotion and we might deduce that they have been killing so long, that the job neither exhilarates nor depresses them They do not kill for passion but for money.

Their mission is to kill Ole whom they do not know, and assuredly, their plan also included the murder of the three witnesses in the lunchroom. When Ole does not appear they are unmoved, and after momentary thought do not harm the three men. Their lives are spared by a twist of fate, a whim on the part of one of the killers.

The killers are dressed alike in tight, black overcoats, derby hats and gloves. There seems something rather comic about them, like a vaudeville team, but again this bit of absurdity takes on ironic overtones and we remember that regardless of their dress, they are definitely not to be laughed at.

These faceless men can be generalized to symbolize more than cheap hoodlums. If they are allowed to multiply they might well be symbolic of fascism with all its cold, ruthless, destructive connotations. With such an interpretation, we can see Ole as the victim, and George, Nick, and the cook as the various responses of the modern world to fascism. 12

The threee men in the lunchroom, George, Sam the cook, and Nick, each react

differently to these killers. George does not demonstrate fear nor attempt any drastic moves while the killers are present. He calmly follows their instructions. He shows he is a different breed from the killers when he asks, "What are you going to kill Ole Andreson for? What did he ever do to you? " George advises Nick to warn Ole, but then adds, "Don't go if you don't want to." George is a "good" man, but he has experienced evil and he can accept what is happening. He understands the gangland code and comments that Ole probably double–crossed somebody. "That's what they kill them for." His final words to Nick are, "You better not think about it". (Ole's impending death).

The Negro cook, Sam, immediately comprehends the seriousness of their situation, and he is absolutely determined to avoid any involvement with Ole. His experience with evil has been much greater, than George's or Nick's and he is a man with great fear and respect for evil forces, and no illusions whatsoever about the possibility of successful intervention on the victim's behalf. The fact that he is a Negro and a cook should lead us to assume his life has been difficult and even violent, and his reaction is quite plausible.

Nick Adams is the young man who is inadvertently drawn into this drama. He says practically nothing until the killers leave and he is untied. "What the hell? " he says, and the author adds, in one of the few breaks from the objective point of view, "He was trying to swagger it off." Nick volunteers to warn Ole and the cook's comment is, "Little boys always know what they want to do." When Nick finds Ole he offers to describe the killers, to call the police, suggests that Ole leave town or wonders if its all a bluff. Ole replies negatively to all of this. Nick displays his incredulence, his belief in resistance and remedy, in short, his innocence of evil. After Nick reports their conversation to George, Nick concludes that he will leave town because he cannot stand to think of Ole waiting for death.

This character, Nick Adams, is the central figure in a number of Hemingway's short stories in which Nick's development to manhood is intimately related. Some of the stories apper to be pointless unless they are in relation to the others. 13 While "The Killers" can be studied by itself, it is well to keep this point in mind.

Ole Andreson is not a well developed, living character at all. Like the other characters in the story, he stands for a philosophy, a way of life. He accepts his fate calmly, without struggle or flight. "I got in wrong," is how he explains and concludes his situation and life. He had become a part of another world, another code different from the "normal" world's, the world of Nick and Mrs. Bell. His cool acceptance of his fate is comparable to the attitude of the killers, and logically so, since they are all operating on some kind of code. The difference between the three men is that it has fallen Ole's lot to be the victim. Perhaps in an earlier period he was the victor and had his victims.

Mrs. Bell, the owner of Ole's rooming house, remains as the last character to discuss. Perhaps she seems insignificant but Hemingway included her for a purpose. Observe her comments about Ole. "I guess he don't feel well." "He's an awfully nice man." "He's just as gentle." And her advice to Ole is "You ought to go out and take a walk on a nice fall day like this." In this overwhelming bit of irony she advises him to go out and get killed, although she doesn't realize it. Her role represents the normal world's code–a world that is unaffected, ignorant, and even indifferent to man's struggles, and particularly to the man who lives by a different code. 14

Now that the characters have come into clearer perspective, it is possible to concentrate upon the conflict. Critics of Hemingway's work have concluded that there is ususally an obvious external message or conflict and a subtler one below the surface. 15 As a consequence of this fact, they have worked out a system of analysis, first with the superficial interpretation, and then a more profound view based upon what was implied through irony, repetition, symbols, etc. Intrinsic in the more profound view is Hemingway's moral code, a fundamental part of the "Hemingway hero." 16

At first reading this story appears to be about killers, as the title indicates. That

Adam is going to be murdered by two unknown killers, perhaps could be the conflict. If this were the main point to the story, we wonder what is the sense of Nick's visit to Ole, and then with George. A good thriller, or terror story would have ended when the killers left the lunchroom. Hemingway included Ole, gave him a philosophy and a code for a purpose, and Nick's reaction to the killers and Ole also has a reason. The conflict is more than threatened murder. It is a conflict ——for us—— of divergent philosophies, of the code of the killers and Ole, and the code of the normal world, as represented by Nick. 17 Now we see the conflict is a deeper, more subtle and meaningful one. Upon this conflict, the author has unfolded his theme.

A substantial part of the theme hinges upon Hemingway's code and his philosophy of life. He had a strong feeling of ultimate doom, of being poised upon the brink of nothingness. Therefore, it was essential to live life to its height. 18 One had to live skillfully, properly, honorably, with great courage and endurance, and be able to die equally as well. 19 His view of the world was a world at war, either physically, or emotionally, filled with violence and hostility. Hemingway's hero lived under pressure, with fear, grabbing pleasure quickly for the brief moment it lasted. 20 To live well in such a violent world, the hero followed a code which offered some hope through human courage, dignity, and endurance in the losing battle of life. The man loses, of course, but "what counts is how you conduct yourself while you are being destroyed." 21

The Nick Adams stories and Hemingway's later novels trace the development of a young, innocent, sensitive, virile man through his initiation into the adult world. Pain, fear, love, danger, death, and evil are some of the realities he confronts. He is wounded by his experiences in that world, but not destroyed. He confronts the world with a code to live and die by, but he carries his wounds throughout his life. 22

The Nick Adams of his story is in the incipient stage. He is departing from his small home town to encounter the real world of violence, the Chicago world where men live by their special codes. His confrontation with life is framed by a violent, physical crisis. The conflict is one of decision, not accomplishment nor action, and he must choose to oppose the killers, or ignore them, as the cook does, or rationalize and accept them, as George does. Nick's opposition to the killers extends to warning Ole and offering assistance. While he does not sucumb to evil, neither does he overpower it. Ultimately, in leaving town, he flees evil, and reveals his recognition of its power, and his unwillingness to co–exist with it.

In searching for the theme, we must try to generalize, to universalize this conflict and the participants in it. Nick represents innocence and the killers evil. The other characters, George and Sam, depicit two attitudes of the world toward evil. The theme is Nick's initiation into, or discovery of evil. Ole stands out as Hemingway's personification of the code–living man, which will be the kind of person that Nick, and Hemingway's later heroes become. Ole defies death and evil with his code that he has followed in life and will hold until his death. 23 He knows he has violated the code ——"I got in wrong"—— and awaits death stolidly. The theme, then, is the discovery of evil, and the corollary to evil is a protective code which gives a man some immunity from the evil world, and a certain degree of dignity.

The conclusion of "The Killers" is similar to that of five of Hemingway's novels. The scene shows a man cornered, gallantly suffering defeat, but surrounded by others who do not notice him, his ordeal, nor his heroic confrontation of his fate. Nick is the one man who recognizes and values the man's admirable stoicism, but the hero is beyond such help, suffering alone in an empty universe. Mrs. Bell represents Ole's indifferent, ignorant universe, and she is utterly unaware of what is going on. 24

We have now studied the point of view, characters, symbols, setting, conflict and theme. Our last point is the style, the "Hemingway style", which has been imitated so widely. This style has taught the values of objectivity and honesty, and has operated to

purify American literature of sentiment, baroque embellishments and superficiality. 25 It is a very "unintellectual" style in some respects: in the vocabulary, the sentence construction, the extreme economy of words and description, the strict chronological sequence of events, and the absence of commentary or explanation from the author. Certainly it would be inadquate for an intellectual analysis, but this style is perfect for the display of the concrete symbols, and the emotions ——love, despair, courage—— in which Hemingway deals. 26

There is a purpose to his style which is to so reflect the content as to become a part of it. The strict discipline over the hero's mind and nervous system compliment the tense, tightly disciplined sentences. The "mindless", unintellectual hero, like the prose, shows the need to stop thinking, to simplify things in order to encounter the basic, narrow focus in life which can be mastered. 27

The first thing that stands out in Hemingway's writing is the prevalence of dialogue and absence of description. The dialogue itself is striking in its economy and precision, stripped to the bare essence of thought and character. Although he employs commonly used, colloquial words, the dialogue is not simply average talk, but the stream–lined epitomy of every–day talk. 28 A consequence of this dialogue, and the objective point of view, is the creation of understatement. 29 That is, the characters verbalize only a small portion of their thoughts and emotions; their responses are muted, played down. As Hemingway once wrote in one of his stories. "The dignity of movement of an iceberg is due to only one–eighth of it being above water." 30 When the understatement is contrasted with violent action, the result is irony. In "The Killers" the irony of understatement is heightened by the constant interplay between the world of normality and the "unreal" world of gangsters. 31

We can dissect the work even more minutely to examine the sentence structure which is also premeditatively constructed to enhance Hemingway's particular style and theme. His sentences are short and usually simple ——no subordinate clauses, nor complex sentences. If there are compound senteces they are linked by the simplest conjunction, like "and," "but," "so," or "then." The emphasis is upon nouns, as the closest approximation to things, and verbs that depict action. The verbs are limited mainly to the sixteen basic verbs related to body movement, with a heavy leaning upon "to be" and the gerund form of the verb. Adjectives are a decorative luxury wich Hemingway seldon uses. 32

The initial effect which this structure produces is that of a rapid, choppy, staccato diction. Despite this aspect, or rather, because of it, a mood, an aura, or an emotion is established. The purity and simplicity of this style grow as we follow the story along a straight line, in one direction, avoiding side–tracks and structural complications. The story presents a series of images which hold our attention, and the frequent appearence of verbs create a feeling of overwhelming activity, fluidity and unity. 33

We thus conclude our study of "The Killers". Our objective has been to discuss the primary elements of a short story ——setting, point of view, symbols, conflict, characters, theme and style—— and to analize a given story. From the analysis it should be apparent that such a division and a careful study of the parts can give us a deeper insight into the meaning of a story and the author's objective. Specifically, in relation to "The Killers". we can make some general observations.

One of the oustanding qualities of the story is its unity. The style compliments and contributes to the development of the theme. The characters are not well developed, but sufficiently so that they represent a certain way of thinking and acting which logically motivates the conflict and illuminates the theme. The action and dialogue are all essential for the conflict with nothing superfluous in evidence.

The theme itself is universal: the discovery of evil. It is universal inasmuch as it treats an experience which all adults have confronted, resolved, and reacted to in one way

or another. It is an indication of Hemingway's skill that something with a universal application and interest can be developed within the confines of an eight page story.

The story also is valuable as a sampling of Hemingway's style, conflict and theme. The dialogue, the monósyllabic words repetitiously used within short, blunt sentences, and the objective point of view are the dominant components of Hemingway's style. His conflicts are almost always ones which include physical violence or the thereat of it, and place the hero in a decisive conflict which will strongly influence his life, and possibly cause his death. The Hemingway heroes ——usually a combination of Nick Adams and Ole Andreson—— live their lives by their codes. These characters are intimately tied to the theme and conflict, which is usually the hero confronting success, or ambition, or danger, etc. The resolution of the conflict and the theme are often contingent upon the hero's fidelity to or disavowal of his code.

FOOTNOTES

1. Maurice Baudin, Jr., ed., *Contemporary Short Stories: Representative Selections*, II (New York: Liberal Arts Press, 1954), p. 141.

2. Robert P. Weeks, ed., *Hemingway: A Collection of Critical Essays* (Englewood Cliffs, N. Y.: Prentice Hall, Inc., 1962), p. 176.

3. Philip Young, *Ernest Hemingway* (Minneapolis: University of Minnesota Press, 1959), p. 4.

4. Herbert Gold and David L. Stevenson, eds., *Stories of Modern America* (New York: St. Martin's Press, 1961), p. 227.

5. Carlos Baker, "The First Forty–Five Stories," in *Modern American Fiction––Essays in Criticism*, ed. by A. Walton Litz (New York: Oxford University Press, 1963), p. 228.

6. *Ibid.*, p. 230.

7. *Ibid.*, p. 228.

8. Ray B. West, Jr., ed., *American Short Stories* (New York: Thomas Y. Crowell Co., 1959) pp. 8, 179.

9. *Ibid* p. 9

10. Young, *Hemingway*, p. 3

11. Ray B. B. West, Jr., "Ernest Hemingway: The Failure of Sensibility", in *Modern American Fiction*, p. 248.

12. Baker in *Modern American Fiction*, p. 234.

13. Young, *Hemingway*, p. 4.

14. Cleanth Brooks and Robert Penn Warren, "The Discovery of Evil: An Analysis of 'The Killers'," in *Hemingway* by Weeks, p. 117.

15. Baker in *Modern American Fiction*, p. 238.

16. Weeks, *Hemingway* p. 6.

17. Brooks and Warren in *Hemingway* by Weeks, p. 115.

18. E. M. Halliday, "Hemingway's Ambiguity: Symbolism and Irony", in *Hemingway* by Weeks, p. 53.

19. Young, *Hemingway* p. 8.

20. *Ibid.*, p. 39.

21. *Ibid.*, p. 8.

22. *Ibid.*, p. 7, 37.

23. Malcolm Cowley, "Nightmare and Ritual in Hemingway", in *Hemingway* by Weeks, p. 48.

24. Weeks, *Hemingway*, pp. 12–15.

25. Young, *Hemingway*. pp. 31–32.

26. Baudin, *Short Stories*, p. 141.

27. Young, *Hemingway* p. 34.

28. *Ibid.*, p. 33.

29. Gold, *Stories of Modern America*, p. 228.

30. Baudin, *Short Stories*, p. 141.

31. West in *Modern American Fiction*, p. 248.

32. Harry Levin, "Observations on the Style of Ernest Hemingway", in *Hemingway* by Weeks, pp. 78–80.

33. Levin in *Hemingway* by Weeks, p. 82.

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Per Ardua ad Astra: Perversity in the Morality Puzzle of William Faulkner

Barbara Richter

The vivid portrayal of idiots, the insane, compulsives, conjugal antagonism. and rape, in William Faulkner, seems to me a major obstacle for many readers to an understanding of his work, and consequently a critical problem of high importance. Faulkner declared that his purpose, like that of Henryk Sienkiewicz, author of *Quo Vadis*, was to uplift the hearts of men (1). His insistence, even concentration, on perversity makes this hard for some readers to accept. Yet his extremes are strategic: in them he confronts the enigma of evil. They are the key to unraveling the morality puzzle his total work constitutes. When Benjy Compson, Isaac Snopes, Darl Bundren, Nancy Manigoe, the Reverend Gail Hightower, Joe Christmas, Quentin Compson, Henry Sutpen, Bayard Sartoris, Temple Drake, Jack Houston and Lucy Pate, Isaac McCaslin and wife, and Anse and Addie Bundren are arrayed together, one notices in a striking insight that they are all, at least partially, victims and in Faulkner's phrase, doing the best they can under the circumstances.

It is the purpose of this paper to illustrate how these extreme and memorable characters are innocent of the evil in which they are involved, victims of circumstances into which they were born, and to show what Faulkner does with their innocence.

As Wallace Stevens noted, "The major abstraction is the idea of man". In his extreme characters Faulkner evokes the essence of the human condition. It is the function of literature to focus vision, and literature is of course pre-eminently creative for the reader. In Faulkner this power is consummately demonstrated. The extraordinary in Faulkner's world helps focus the ordinary from the reader's own experience. It provides him with a sense of what his experience is in its essence, for him. In this way the extraordinary permits the reader to trespass his own objective limitations, to explore his

own mind's subjective infinity (ironically in a consideration of human limitation) or—more simply—to know himself. That Faulkner does this using idiots, the insane, compulsives, a rape woman, and embattled couples is a testament to sheer skill as well as a cause for astonishment at the range of empathy it is possible to induce.

In reading Faulkner one senses a gigantic pattern of symbolism. The task of discussing his characters as victims is somewhat the outgrowth of that feeling. There has been much critical effort devoted to Faulkner as a moralist but as yet no widely accepted explanation of his symbolism. Malcolm Cowley's vague phrase that it is "physical evil somehow symbolic of moral evil", first made in 1946, still seems the closest approach to this important enigma. There may be no great symbolic structure beneath the surface of these novels. The work may be meaningfully related only in the depths of Faulkner's unconscious. But there are too many clues of a master craftsman, particularly in *The Sound and The Fury* and *As I Lay Dying*, for this explanation to be completely convincing. And in Faulkner's statement in a interview in 1956 there is support for the view that the symbolism is deliberate: he said that he had found out that "not only each book had to have a design but the whole output or sum of an artist's work had to have a design" (2).

There is also an explanation in the technical aspect of Faulkner's work. Discounting the first three books, Faulkner's next five are masterful technical achievements—carefully conceived and skillfully executed psychological novels. They are limited to the perceptions, sometimes just the immediate sensory impressions as in the case of Benjy. Faulkner does step in to provide Benjy with words and to express poetically what Darl feels in order to reach through the reader's mind to his perceptions. Sometimes there is considerable analysis and redefinition by a character with personal coloring of his own, as in the case of Quentin Compson in *Absalom, Absalom*. Because psychological novels aim to make much greater use of the experience of the reader than does the ordinary novel, to involve *him* in the creative process by making him use his own stored-up impressions of reality, as Whitman did in *Leaves of Grass*, notably in "Pictures", and Henry James did in the late gigantically symbolic novels, it is not difficult to understand why there are so many, so diverse explanations of Faulkner's meaning.

Each reader interprets with the aid of his own personal symbols. Faulkner has provided a gigantic general frame, capable of yielding many interpretations. Each reader particularizes out of his own personal experience. This complexity helps explain how one reviewer can believe that Quentin Compson is negating the concept of Original Sin and another that Faulkner's work reflects the fact that in the South the doctrine of Original Sin had never been lost sight of (3).

Faulkner's key characters are victims. This includes all of the important and memorable figures except the two types more or less unchanged by circumstances: the really good and the really evil. Dilsey, and to an extent Lucas Beauchamp and Aunt Jenny Du Pre are of the type who "endure", the type "capable of sacrifice and compassion and endurance". Lena Grove, Byron Bunch, and Miss Havershan (though she is a minor character) are intrinsically innocent. The more or less detached observers Gavin Stevens and V. K. Ratliff (reminiscent of Henry James's intelligent observer and Joseph Conrad's reciter, Marlowe) are usually protected by their function of presenting and commenting on the story. In the tale of the gold on the Old Frenchman's property in *The Hamlet*, an entertaining burlesque of Chaucer's tale of the three roisterers, even Ratliff is taken in. As a rule observers are earnest, intelligent, sympathetic men who serve as aids or filters for the experience of the story.

Even the really evil are not condemned but given some motivation for their actions. Jason hates his niece Quentin because she is the symbol to him of the lost job at the bank. Certainly he also has a burden in his mother and, though the reader does not feel this, in the suicide of one brother, the idiocy of another, and the promiscuity of his sister.

In Benjy's section of *The Sound and the Fury* and in "That Evening Sun", we learn that even as a child Jason was a sneak. Nature certainly did not outfit Flem Snopes, with his eyes the color of stagnant water, to be a hero. Nor did Faulkner help with the connotations of his name. At Snopes' introduction in *The Hamlet* "the blanched dogwoods stood among the darker trees with spread raised palms like praying nuns".

Flem and Jason remain a presence with the reader long after the details of a story are forgotten, a near incarnation of evil. They are both mercenary, unfeeling, meticulous machine-like men. Even as a baby Jason always has his hands in his pockets, which causes Roskus to predict that he will be a rich man. But even as a child, because his hands are always in his pockets, he is always falling down. Both Flem Snopes and Jason Compson operate without a heart. Despite Flem's conquest of hell, which is high comedy of the most extravagant sort, Faulkner is serious about him He is a villain, possibly because of his insensibility to the truths of the human heart. Vicious as he and Jason are, however, and triumphant over their less inexorable neighbors, one expects Faulkner's characteristic irony in that in their triumph is their defeat. They are *not* poor in spirit, or meek, or mourning, or hungering and thirsting for justice, or merciful, or pure of heart, or peacemakers, or suffering persecution for justice's sake: they are mercilessly, inexorably logical. They are, in the moment and in the outcome, defeated.

Donald Mahon, the young Loot of *Soldier's Pay* was Faulkner's first victim, his first experiment with impaired faculties. Left with a hideous scar across his handsome idealistic face after the war, dazed but slowly succumbing to a creeping paralysis that slowly takes his sight, his consciousness, and when there is nothing left, his life, in this story Donald is a constant presence who never participates. The story is ineffectual: but he is a hero, his Purple Heart a real symbol of his suffering, which is "the one trophy he had reft from Time and Space", and his means to the stars (4).

Benjy Compson is deprived by Providence of his mental powers and by his brother Jason of sexual powers. He is the sound of *The Sound and the Fury*, as Jason is the fury and Quentin, the walking shadow and the brief candle. Despite this use of Macbeth's despair speech, one may not conclude that in Faulkner's work life signifies nothing. Rather the point is that all this very definitely and precisely *does signify something*. Yet it is something man trusts, rather than sees. He is limited, and this limitation—which makes trust necessary—is explained theologically as the impairment of Original Sin, the darkening of the intellect and the weakening of the will. What Faulkner is most interested in is the evidence of life beneath the burden of limitation. Man does hope, and man does struggle. Yet the tension between his condition and his reaction to it is intense.

Benjy's ability threshold is an important question. He has never learned to speak. His mental age is set by one of Luster's friends as three years old, and this is probably valid. He is said to love three things: the pasture sold and made into a golf course (where he frequently hears players yelling, "Caddie! "), his sister Caddie (whose hair was like fire and little points of five were in her eyes), and firelight itself. Students of Faulkner's technique, including Leon Edel in *The Modern Psychological Novel*, have insisted that Benjy is nonverbal and that it is a tribute to Faulkner's ability that he can step in to provide words of the analogy-building, poetic sort that would depict vague recognitions and subverbal perceptions of such a mind.

He is aware of his castration, as we know. Luster comments near the end of Benjy's section: "Looking for them ain't going to do no good. They're gone". It may be that this is the explanation for Benjy's bellowing outburst of "horror, shock, agony, eyeless, tongueless" near the end of Dilsey's section. The more general explanation that Benjy has been thrown into confusion at the change in the route he has hitherto been accustomed to and flies into a tantrum like any child under the age of reason is of course also possible. Candace is named probably because of her association to Benjy. There is an Ethiopian queen of that name in the Bible, whose eunuch was the first Christian convert.

Sex is recognized in Faulkner, as it is in Whitman, as an elemental force. Taking into account Faulkner's great admiration for the Bible, a reader would to well to consider the Old Testament significance of the loins as the seat of feelings, as the heart is understood to be the seat of the intellect. The outrage of castration is communicated in the termination of Joe Christmas's life also, where it equals the terror at Temple Drake's rape.

Thus betrayed by his brother and sent by that brother to the state mental institution, Benjy recalls the Biblical story of Joseph and the sons of Jacob as well as the youngest son, Benjamin, for whom he is named. His innocence and suffering represent that of Christ. As a matter of fact, in the structure of the novel, which is metaphorically a "Passion Week of the heart", he is Good Friday, up to Calvary; Quentin's section is death, tine stopped; the section of Jason, always running and always late, is Holy Saturday, time out of kilter when the God-man was interred; and Dilsey's the Resurrection of Easter Sunday.

Isaac Snopes in *The Hamlet* also is nonverbal, but the technique used to reveal his consciousness is not scrambled data, as in *The Sound and the Fury*. So long as the narrative is the idiot's, we perceive only what he has perceived. As in *As I Lay Dying*, the author intervenes only to express feeling the character cannot verbaliza. Time is not jumbled, which makes the reading somewhat easier. Ike is apparently more sensitive to the visual than Benjy. On one level the sequence is a virtuoso parody of romantic literature. Probably as a result of the technique the reader identifies easily with Ike, even at the depth of bestiality. Ratliff, the observer, facilitates this identification:

> it was as though it were himself inside the stall with the cow, himself looking out of the blasted tongueless face at the row of faces watching him who had been given the wordless passions but not the specious words.

And Ratliff says, "I aint cussing you folks. I'm cussing all of us".
As he renails the board in place, the "dust" crumbles away—"a dry arid, pallid dust of the color of shabby sin and shame, not splendid, not magnificent like blood, and fatal" (5). This is the statement of the human condition, Isaac the victim, recalling the story of Abraham, which to Faulkner is the best in the Old Testament, implicates humanity.

Darl Bundren in *As I Lay Dying* records for the reader a man always regarded as "strange" progressively nearing insanity as his tie with his identity—the relationship he has with his mother—gradually becomes more and more threatened with her interment. Because of multiple observers and the resulting possibility of simultaneity, *As I Lay Dying* is every bit as difficult and possibly more difficult than *The Sound and the Fury*, which does have Dilsey's section, the narration of the omnicient author. After his mother's burial Darl is clearly schizophrenic—a completely split personality. The book is powerful on the poetic level; and indeed it is in this area that the personality of Darl makes its appeal. But here as in no other Faulkner book truth is fragmented and multiply perceived so that one has in a sense a God's-eye view—all the facets of life and the obligation to make a decision between them, to decide what is objective, to find reality. It is interesting to integrate the whole truth from the point of view of Cash the carpenter, who is sympathetic to Darl and considers the incarceration of his brother a betrayal and a shame. Keeping the deranged member of a family at home is an old-fashioned idea, but it seems to me that Faulkner is mostly in sympathy with Cash. He considers the insane *not* an aberation to be dispatched to an institution and erased from consciousness but a man to be seen as evidence of a deep truth in life —limitation— a mirror of other things, a condition to be seen and lived with. Darl is a victim, a man deprived of his powers, yet intensely alive.

The Reverend Gail Hightower surveying his own life apparently just before his own death provides the frame for Joe Christmas' tragedy and the book's comprehensive comment on it. He is a subtle and intricate puzzle, and perhaps more than Christmas, on whom much emphasis has been placed, the key to *Light in August*. It is for him that the

fading copper light of August makes audible a dying yellow fall of trumpets like a whisper, a rumor, in the air. He is fifty: August is his month. The book explores at its end the effect of events on his consciousness.

Hightower is a victim: first, of time; then, of his wife; then, of his church. There is no objective picture given. Byron's view is sympathetic and in his own confessional reverie in the second-to-last chapter, Hightower is rather hard on his own motives. He is, though unhinged, a religious man. It is the essence of his nature that he is practically a disembodied spirit, as Christmas is perhaps an extreme on the physical side. He learns to identify with Christmas' suffering and in pride having brought Lena's baby into the world has the courage to accept responsibility for ruining his wife's life. He has always wanted to be a martyr, but he wished to choose the spot, as St. Augustine wished to choose the time, for his conversion. Hightower wanted to be a martyr in the protected and apotheosized realms of his imagination:

> When he believed that he had heard the call it seemed to him that he could see his future, his life, intact on all sides complete and inviolable, like a classic and serene vase, where the spirit could be born anew, sheltered from the harsh gale of living and die so, peacefully, with only the far sound of the subverted wind, with scarcely even a handful of rotting dust to be disposed of. That was what the word seminary meant: quiet and peaceful worlds within which the hampered and garmentworried spirit could learn anew serenity to contemplate without horror or alarm its own nakedness (6).

He learns that the spirit could not be reborn apart from the reality of matter, that it must live with the living, imperfect and physical as they are. He is a distinct contrast to Eupheus Grimes, who is also mad.

He is of course a considerable contrast to Joe Christmas, the man driven to extremes by a lack of knowledge about himself, a man perhaps who most of all embodies Faulkner's thesis that great literature speaks of the human heart in conflict with itself (7). But Joe, a pathological criminal, a man who cannot sin genuinely because he really has never learned what right is, is also primarily a victim. He is true to himself as he knows himself. He is the only person with whom he does not battle a against oppression. Yet he fails himself too in that lack of certainty about his own identity betrays him into confusion and frustration. Too much, it seems to me, has been made of Joe Christmas as Faulkner's Christ figure. He seems to me one of many—more genuinely a representative of mankind—and his suffering emphasizes that each member of mankind carries in myriad and splendid procession some fragmentation of resemblance to Christ. Faulkner appears to me to be saying that men resemble Christ most under the aspect of his suffering.

Nancy Manigoe is the "nun" of *Requiem for a Nun*, the voluntary victim for expiation, the only one who dies and the only one for whom a requiem may be said. That she is deranged does not detract subjectively from her motive. Faulkner writes psychological fiction. Consequently we would expect the subject to be taken seriously. And it is. It is a necessary irony that society and the civil authorities must and will condemn what mercy could not. Nancy is a victim, misguided—deranged but innocent—by implication suffering for prior evil, Temple Drake's and society's. Nancy loves. Temple does not.

Temple Drake is an unusual Faulkner victim in that she is quilty in a situation where one could almost guarantee her innocence: the unusual situation of rape. There are hints in *Sanctuary* and the open revelation in *Requiem for a Nun* that she enjoyed and thrived on her "Sanctuary" from the incriminating notion of sin, because, Faulkner says, Temple Drake liked evil. But Temple Drake does not sin or even suffer alone. Horace Benbow's reaction sets a model for the reader and for mankind. With the barrenness and waste of the Prodigal Son's empty husks of corn bebeath her, Temple Drake's sensation

of the barreling progress of evil within her rushing to meet with evil outside her, speeding furiously with the strength of passion while still the faint empty uproar of the shucks reminded her of the futility of sin, states succintly the conscience of the world: evil *is* here and furious but it is empty.

Not much space is spent on Jim Bond, the halfwit who is the culmination of the Sutpen dynasty. He and his father, Charles Etienne St. Valery Bon, seem almost to be an earlier attempt at Joe Christmas, though *Light in August* was published before *Absalom, Absalom!* Jim Bond's importance is his existence as the remnant of his great-grandfather Sutpen's doomed dream of a dynasty, based on a legitimate idea (that all men are equal) but pursued with a demon fury and thereby doomed. Steve's comment that the Jim Bonds will conquer, facetiously phrased, is a reference perhaps to the power of innocence.

Henry Sutpen is a driven man. Caught in the trap of his father's plan, but driven by a desire to justify his friend (and brother) he fights out the Civil War engaged in a battle with himself. When he finally succeeds in justifying incest to himself, Bon reveals that he is part Negro and because Henry cannot support miscegenation, he kills Bon at his front gate after his every effort to persuade him to give up Judith has failed. Henry flees then, to suffer the rest of his life, in retribution really for his father's plan. We know Henry only through the conjectures of Quentin and Steve and are entitled to some allowance for a coloring through their personality. Nonetheless Henry Sutpen is a characteristic Faulkner victim.

Quentin Compson in *The Sound and the Fury* is probably the most desperate of Faulkner's driven men. Certainly his sensitivity gives him precedence over Joe Christmas. He is a Hamlet, but even more introverted: unlike Hamlet he must himself be the instrument of his own death. His fist fight with Gerard Bland results in only a nosebleed. Faulkner has indicated that the real center of *The Sound and the Fury* is Caddy; that all the other characters gain meaning from her; that Quentin's shame in part is that his sister in effect does reject him for the ex-soldier. That may be so. Nonetheless, for many people Quentin is an extremely sympathetic character. He is Faulkner's most articulate spokesman on time, an important consideration of all psychological novels. He is tortured by time since it is in time that he is (in his mind) a coward, a shrinking, sensitive soul unable to avenge what he thinks is his sister's honor. Every clock, chime and shadow is a reminder to him of a painful inadequacy. But he is more than a sensitive, idealistic adolescent. He is a thinking man faced with the enigma of reality and completely impotent to affect it. He, a suicide, is a victim of his sensibility, as James's young Robinson was.

Young Bayard Sartoris is a man driven by quilt. We have no knowledge of the degree of responsibility for his brother John's death. We know only that in a fit of desperation after justifying to himself the recklessness that caused his grandfather's death, he accuses himself: "You did it! You caused it all; you killed Johnny". He too is a suicide, but we learn from the newspaper report rather than his own thoughts that this is so, and we know much less of his suffering.

It has been pointed out by Mary Cooper Robb that Faulkner rarely succeeds in presenting women successfully (8). His only sympathetic and believable women characters are ante-bellum Southern ladies like Aunt Jenny and Miss Haversham. Negroes like Dilsey and Molly Beauchamp, or Southern Madonnas of low mentality like Lena Grove and Addie Bundren. Faulkner's women characters may be the result of choice and necessity of his purpose. It is interesting to consider that he has never depicted a successful conjugal relationship. "Pantaloon in Black" seems an exception, but Rider's young wife is only a memory, and Rider himself is a heroic representation in black of what Sartoris and Sutpen tried to be. They failed, which is a comment on literature, on man's imagination, and on life. In contrast, as French critics have noted, Faulkner's

heroes, with the exception of Isaac McCaslin, whose renunciation was made as a young man, are young boys or celibate men. Jack Houston and Lucy Pate, Isaac McCaslin and wife, Anse and Addie Bundren postulate antagonistic relationships of husband and wife that in a critical view of Faulkner must be taken into consideration. These family relationships seem to be a deprivation of man's full freedom.

What is it that these vivid characters possess in common? They are the extreme, the full vent of passions in Faulkner's work. Central to their being is the idea of their suffering, which is modeled on the voluntary suffering of Christ.

They are all victims, making recompense by the strictures of their situations for prior evils or for evils of which they are innocent. They know—in varying degrees—what happens, but not why. Yet they are not figures of despair. Rather through their endurance they become heroes working out man's spiritual strength, which is hope. They do not control their situations. But this does not mean that they negate free will. The deranged or impaired, inasmuch as they possess reason, and the driven, inasmuch as they exercise control, do act personally. Benjy and Isaac are probably completely without responsibility; but mankind in general acts only in varying degrees with free will. It seems that Faulkner is aware of a larger design, a design predicating belief in higher knowledge and power. His total work support this. His concern, however, is individual and psychological: he is with mankind as man the individual perceives what to him is truth.

Faulkner's mirroring of man under the aspect of suffering despite the glaring contradictions of that individual's ignorance of total truth is a statement that in the same way that Christ did, man will prevail. His victims are partial victims. They function as frames for the reader's participation, but indicate definitely also a traditional concept of suffering —a call through adversity to the heights of man's spiritual capability. Faulkner used the phrase *"Per Ardua Ad Astra"* as a motif in his first novel, *Soldier's Pay*. Mahon's "pay" was a hideous scar, disintegration, and death. That Faulkner used the phrase in that context indicates how deeply he pondered it. Much of his later work seems the result of that reflection. In Faulkner man is essentially a victim. He climbs to the stars through hardship. Near the end of his career, at the University of Virginia, Faulkner commented directly on his sense of man's condition:

> I think you really can't say that any man is good or bad.
>
> I grant that there are some exceptions, but man is the victim of himself, or his fellows, or his own nature, or his environment, but no man is good or bad either. He tries to do the best he can within his rights (9).

FOOTNOTES

1. Saxe Commins, ed., *The Faulkner Reader* (New York: Random House 1954), p. ix.

2. Frederick J. Hoffman and Olga W. Vickery, eds., *William Faulkner: Three Decades of Criticism.* (East Lansing: Michigan State University Press, 1960), p. 82.

3. Randall Stewart, *American Literature and Christian Doctrine* (Baton Rouge: Louisiana State University Press, 1958), p. 124.

4. William Faulkner, *Soldier's Pay* (London: Cox and Wyman, 1970), p. 243.

5. William Faulkner, *The Hamlet* (New York: Random House, 1931), p. 199.

6. William Faulkner, *Light in August* (New York: Random House, 1932), p. 419.

7. *Faulkner Reader,* p. 3.

8. Mary Cooper Robb, *William Faulkner: An Estimate of His Contribution to the American Novel* (Pittsburg: University or Pittsburg Press, 1957), p. 70.

9. Frederick L. Gwynn and Joseph L. Blotner, eds., *Faulkner in the University* (Charlottesville: University of Virginia Press, 1959).

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ANALYSE DES FORMES RYTHMIQUES ET SONORES D'UN PASSAGE DE L'EDUCATION SENTIMENTALE DE G. FLAUBERT *

Marie–Christine Scholler de Peralta

Frédéric et Mademoiselle Louise, dans le jardin de Monsieur Roque.

"Ils n'entendaient que le craquement du sable sous leurs pieds avec le murmure de la chute d'eau; car la Seine, au–dessus de Nogent, est coupée en deux bras. Celui qui fait tourner les moulins dégorge en cet endroit la surabondance de ses ondes, pour rejoindre plus bas le cours naturel du fleuve; et, lorsqu'on vient des ponts, on aperçoit à droite sur l'autre berge, un talus de gazon que domine une maison blanche. A gauche, dans la prairie, des peupliers s'étendent, et l'horizon, en face, est borné par une courbe de la rivière; elle était plate comme un miroir: des grands insectes patinaient sur l'eau tranquille. Des touffes de roseaux et de joncs la bordaient inégalement: toutes sortes de plantes venues là s'épanouissaient en boutons d'or, laissaient pendre des grappes jaunes, dressaient des quenouilles de fleurs amarantes, faisaient au hasard des fusées vertes. Dan une anse du rivage, des nymphéas s'étalaient; et un rang de vieux saules cachait des pièges à loup était, de ce côté de l'île, toute la défense du jardin".

La prose très étudiée de Flaubert se prête à une analyse sonore et rythmique. On sait l'importance que Flaubert accordait à la diction, à tout l'aspect oral du style. Il disait lui–même que dans la prose, il faut un sentiment profond du rythme, rythme fuyant les règles, sans certitude, il faut un sens d'artiste infinent plus subtil, plus aigu, pour changer à tout instant le mouvement, suivant les choses que l'on veut dire. Rappelons l'épreuve du "gueuloir" par lequel il faisait passer les morceaux qu'il avait rédigés. Après avoir terminé un roman, il reprenait toutes les fins de phrases, ce qui signifiait réexaminer la "coupe" de ses phrases.

Nous verrons à propos du texte étudié ici, la notion de "coupe" des phrases. Nous ne dirons pas de chaque phrase qu'elle a un rythme, mais qu'en passant de l'une à l'autre on change de rythme. Nous savons que Flaubert s'appliquait à rompre le rythme de ses phrases afin d'en réfréner l'automatisme.

Nous étudierons tout d'abord la mélodie–ou intonation de la phrase qui est liée au sens et qui se traduit par une série de hauteurs musicales, reliées les unes aux autres par des modulations conditionnées à des temps forts (syllabes toniques) ou des temps faibles (syllabes non accentuées).

Le rythme est aussi soumis à des effets annexes tel que' l'apparition d'isocolies,

* Flaubert. *L'Education sentimentale.* (Paris: La Pléiade, 1952), p. 280.

l'apparition d'une périodicité régulière dans la succession des accents, l'apparition de répétitions de sons, d'allitérations, d'homophonies, la fragmentation du mouvement verbal, et d'expressions de même sens.

I. Observation à propos de l'intonation d'une phrase selon Frédéric Deloffre (1)

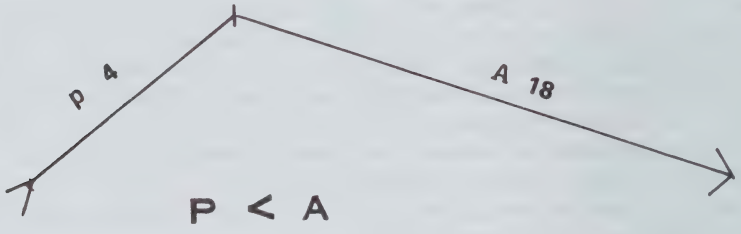
A. L'intonation d'ensemble d'une phrase est caractérisée par una première inflexion ascendante (protase) culminant par une note haute, et une partie descendante (apodose) se terminant par une note basse. Chacune des deux parties est modulée, mais la fin de la première partie est marquée par une chute sensible de l'intonation.

B. Du point de vue du sens, la partie ascendante est constituée par une sorte de question, à laquelle répond la partie descendante.

C. Grammaticalement, la partie ascendante, dans una phrase simple est habituellement constituée par le groupe sujet, s'il n'est pas précédé d'un complément circonstanciel de quelque importance et s'il a lui même un corps phonétique suffisant.

II. Etude de la phrase n.1.

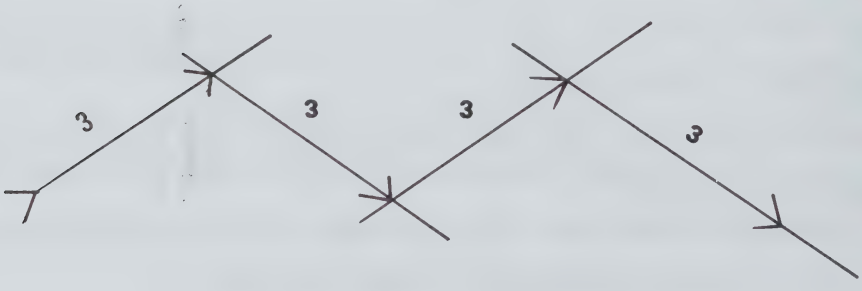
Ils n'entendaient– que le craquement du sable sous leurs pieds avec le murmure de la chute d'eau.



Cette phrase se caractèrise par un déséquilibre Protase. Apodose, faisant un effet frappant de cadence majeure, mettant en valeur la sonorité des bruits qui les entourent.

Phrase n.2

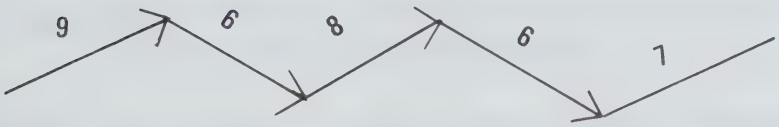
Car la Seine – à Nogent – est coupée – en deux bras.



Une telle phrase ne produit pas d'effet particulier, elle est dite "neutre" A=P

Phrase n.3

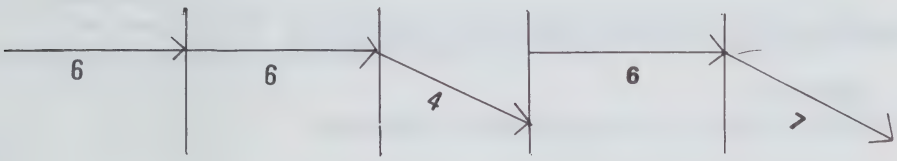
Celui qui fait tourner les moulins — dégorge en cet endroit —
la surabondance de ses ondes pour rejoindre plus bas — le cours naturel du fleuve;



Phrase à dépression mélodique correpondant à la suggestion du débit d'une rivière propre au sens du texte.

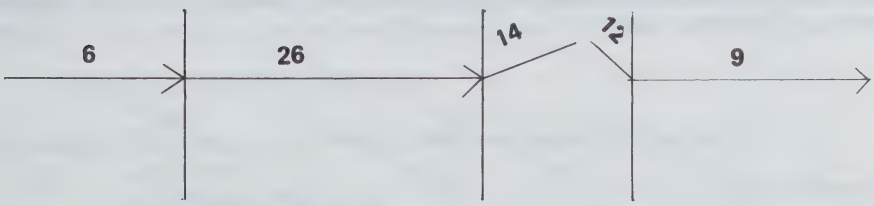
Phrase n.4

Et lorsque l'on vient des ponts — on aperçoit à droite — sur l'autre rive — un talus de gazon — que domine une maison blanche.



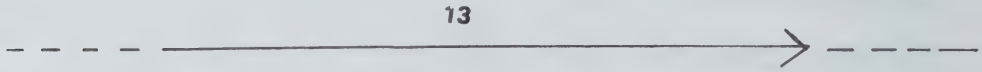
On observe bien que Flaubert évite soigneusement les combinaisons syllabiques qui aboutiraient à créer des alexandrins. Nous avons 66.46.7.

Phrase n.5 A gauche dans la prairie — des peupliers s'étendent — et l'horizon — en face — est borné par une courbe de rivière.



N'a–t–on jamais vu graphique aussi explicite! Tout y est,même la courbe de la rivière. Le mot, "en face" mis entre deux virgules, coupe littéralment le rythme de la phrase, rompant la monotonie de cet horizon.

Phrase n.6
Elle était plate comme un miroir.



Phrase neutre faisant pendant à la phrase antérieure. Continuité de l'idée d'étendue et d'horizon.

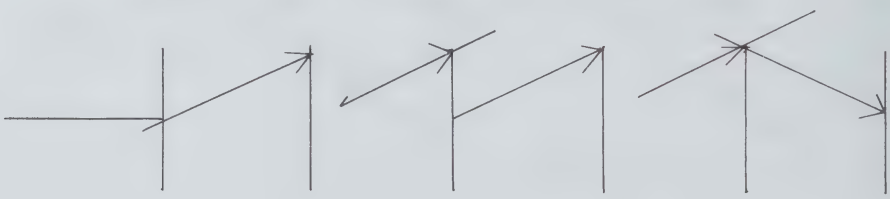
Phrase n.7
Des grands insectes patinaient sur l'eau tranquille.

même remarque que la n.6. Plénitude et tranquillité complète.

Phrase n.8
Des touffes de roseaux et de joncs la bordaient inégalement.

même remarque que les deux autres. Il semble que Flaubert nous prépare une envolée lyrique.

Phrase n.9
Toutes sortes de plantes venues là — , s'épanouissaient en boutons d'or — laissaient pendre des grappes jaunes — dressaient des quenouilles de fleurs amarantes — faisaient au hasard = des fumées vertes.



La phrase d'abord linéaire suit la cadence de protase, apodose ascendante et descendante. Ce n'est plus l'eau tranquille, mais des fleurs qui vivent, qui s'épanouissent, "qui dressent" enfin qui bougent. Cette topographie accidentée, représente en manière générale une envolée lyrique. Elle termine presque toujours par une topographie linéaire, introduisant la plénitude finale d'un lieu ou d'un sentiment et assez souvent les deux. Nous avons une tendance à cadence majeure, produisant un effet d'exaltation et d'admiration à la fois. La chute finale est brève. Nous savons que les chutes finales brèves sur une topographie à cadence majeure, sont des raffinements d'artistes, et que ce rythme est un de ceux adopté par Virgile.

Phrase n. 10

Dans un anse du rivage,/des nymphéas s'étalaient.

phrase semi–conclusive, neutre, conséquence typique de la phrase n.9.

Phrase n. 11

et un rang de vieux saules cachant des pliéges à loup — était — de ce côté de l'île = toute la défense du jardin.

phrase conclusive comportant une forte dépression melodique caractéristique, basse, par rapport au reste. Elle ressent les derniers accents mélodiques de la phrase n.9. Technique caractéristique de Flaubert de coupe de phrase. Il place la conjonction ET après un point virgule. Ainsi le rythme n'est pas complètement rompu.

ETUDE DES EFFETS ANNEXES

Apparition d'isocolies qui se succèdent selon les divisions de la syntaxe.

Car la Seine,
Au–dessus de Nogent, 6s
Est coupé en deux bras. 6s

–Apparition d'une périodicité régulière dans la succession des accents.

A gauche 2
dans la prairie 4
des peupliers 4
s'étendent 2
et l'horizon 4
en face 2
est borné 3
par une courbe 3
de la rivière 4

dressaient des quenouilles 2–3
de fleur amarantes 2–3

un talus 3
de gazon 3
que domine 3
une maison 3

On parle de rythme de valse dans cette phrase dont les membres se laissent scander sur trois temps.

Apparition de répétitions de sons, allitérations ou homophonies.

–Un talus de gaZON que domine une maiSON
–Dans la Prairie des PeuPliers
–Toutes Sortes de plantes S'épanouiSSent en boutons d'or, laiSSaient pendre des grappes jaunes, dreSSaient des quenouilles de fleurs amarantes.
faiSaient des fuSées vertes
–Un rAng de vieux saules cachANt des pièges à loup était toute la défENse du jardin.

Fragmentation du mouvement verbal

Toutes sortes de plantes venues là
–s'épanouissaient en boutons d'or,
–laissaient pendre des grappes jaunes,
–dressaient des quenouilles de fleurs amarantes,
–faisaient au hasard des fusées vertes.

Apparition de répétitions de sons

abondance du son [ɑ̃] et de la voyelle [ɥ]

I. ENTENdaient; ANse; craquemENt; NogEN; ENdroit; surabondANce; blANche; s'étENdent; inégalemENt; plANtes; pENdre; amarANtes; ANse; cachANT; défENse; plAN. L'ensemble de ces voyelles nasales exprime ici la lenteure, la languer, la placidité.

II. mUrmUre, chUte, natUrel, talUs, venUes, fUsées, plUmes L idées dominante étant celle de la légèreté de la plume. Cette voyelle étant ici comme le symbole de la *fragilité*.C'est un désire d'expressivité.

III. Opposition de voyelles nasales/orales dans un souci d'harmonie. Dans une anse durivage/ des nymphéas s'étalaient =

[ɑ̃, y, ɑ, y, ɹ, ɑ, ɛ, ɛ, ɐ, ɑ, ɐ, ɑ, ɛ]

Apparition de la répétition de mots de meme sens ou de coloration voisine, associées dans l'imagination de l'écrivain

CRAQUEMENT du sable– MURMURE de la chute d'eau
DEGORGE en cet endroit –SURABONDANCE de ses ondes
MIROIR –eau TRANQUILLE

Flaubert cède à un entrainement de répétition de mots de même sens pour multiplier le caractère associatif de certains mots, qui, émeuvent l'imagination de l'écrivain. C'est une manière pour lui d'en accroitre et prolonger le pouvoir.

Emploi de mots rares

Dans une anse du rivage, des NYMPHEAS s'étalaient.

Ce n'est pas par hasard que l'auteur les utilise. Quand Flaubert dépayse l'oreille par un mot rare ou scientifique, c'est presque toujours pour y faire entendre un écho du passé de la langue. L'étrangeté du son s'harmonise avec le contexte sonore de la phrase où il figure.

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